

**To: UC Programme Board Members**      **From: Lara Sampson**  
**Sponsor: Neil Couling**  
**Author: Peter Loosley**

**Date:** 16 July 2019

### **Move to Universal Credit Plans**

**Issue:** The Purpose of this paper is to provide UC Programme Board with an update on readiness for the start of the pilot at Harrogate Jobcentre.

**UC Programme Board is asked to:**

- **Note that on 10/7/19 UC Programme Delivery Executive (PDE) confirmed that the pilot is ready to start on 24/7/19 subject to approval of regulations by Parliament.**

**Timing:** For the meeting on 16 July 2019

### **Introduction**

1. The Move to Universal Credit phase of the Programme is planned to start with a pilot in July 2019. At the Programme Board meeting on 26/6/19 we presented the latest view of our readiness to start on 17/7/19 and explained that this date was subject to regulations being agreed by Parliament. Further work then took place with parliamentary business managers and Ministers to agree a handling strategy to achieve this. A plan was subsequently agreed to secure approval but this meant moving the pilot start date by one week to 24/7/19. This was agreed by PDE and Programme plans have been updated to reflect the new date.

### **Readiness Assessment**

2. On 10/7/19 PDE considered readiness to start the pilot on 24/7/19. To inform this discussion we completed a further readiness review using the criteria discussed at the last Board meeting. In their recent review the Infrastructure and Projects Authority made some helpful recommendations on focussing the criteria on key priority areas and we have taken these on board for this assessment. The readiness report is attached at annex A.
3. Work has continued to prepare the team at Harrogate Jobcentre and all DWP, HMRC and Harrogate LA staff are in place. The design team has worked closely with Harrogate staff to ensure they understand all the processes and to iron out any issues. The necessary IT and telephony infrastructure is in place on site and further low key discussions have continued with local partners and stakeholders who remain supportive.

4. We have continued to progress the design of the Move to UC service and are finalising the development of the digital components that are required. There are a few outstanding issues here that we marked as amber but we are confident these will be resolved before the start date and have contingencies in place should that not be the case. On that basis we have marked readiness as overall amber/green at the time of writing with clear plans in place to achieve green status by the start date. The UC Programme Director will update the Board verbally on the final position at the meeting.

**Recommendation**

5. UC Programme Board is asked to note the current state of readiness as amber/green indicating that the pilot can commence on 24/7/19, subject to parliamentary approval.

## Annex A: Move to UC - Initial pilot key readiness criteria

Readiness Criteria	Measures / Requirements	How this is measured	Readiness Status
<p>We are ready to test our ability to pay and erode Transitional Protection for relevant claimant groups for 20-50 claimants</p>	<ul style="list-style-type: none"> <li>Ability to accurately pay the calculated TP amount for a claimant</li> <li>Ability to accurately erode TP over time</li> </ul>	<ul style="list-style-type: none"> <li>Agent is able to check UC system to confirm TP payment</li> <li>Erosion rules in place</li> </ul>	<ul style="list-style-type: none"> <li>Production environment under development</li> <li>Interim solution in place for start</li> </ul>
<p>We can test engagement and mobilisation to ensure 20-50 'invited' claimants successfully claim UC at the right time</p> <p>We can monitor the stages and steps taken (including the duration of each stage) to test and learn which steps yield the better outcome for claimants</p>	<ul style="list-style-type: none"> <li>Initial design of conversations ready to test</li> <li>Ability to identify:               <ul style="list-style-type: none"> <li>Deadline date for Migration Notice</li> <li>Number of claims made on or before the deadline</li> <li>Number of engagements prior to and after the Migration Notice is issued</li> <li>Number of claimants that do not claim before the original deadline and do not request an extension</li> <li>Number of claimants that request an extension</li> <li>Number of claimants that do not make <b>any</b> claim for UC and why</li> <li>Number of claimants that make a claim <b>prior</b> to the Migration Notice and therefore lose TP</li> </ul> </li> <li>Ability to obtain feedback on the journey and communications</li> <li>Ability to test different contact methods for conversations and reminders</li> <li>Ability to record inbound communication from claimants, i.e. how claimants respond following our engagement methods</li> <li>Ability to review the information (content and volume) given to claimants</li> </ul>	<ul style="list-style-type: none"> <li>We will test a Minimum Viable Product version of the Manage a Move (MAM) system and its ability to follow the claimant journey</li> <li>We will record the stages of claimants' journey in MAM</li> <li>We will gather feedback via user research from claimants and agents</li> <li>We will test and review the 'tested and reviewed</li> <li>Feedback gathered from 3<sup>rd</sup> party organisations from national forums and locally through the Partnership Manager</li> <li>Front of House enquiry monitoring</li> </ul>	

Readiness Criteria	Measures / Requirements	How this is measured	Readiness Status
<p>We are ready to test support mechanisms and have the ability to learn what support works for 20-50 claimants</p>	<ul style="list-style-type: none"> <li>We have a mechanism that knows where a claimant is in their journey to UC</li> <li>We have mechanisms to learn and obtain feedback from claimants and agents to understand why their journey may have deviated from a 'happy path' (e.g. a claim for UC prior to receiving the Migration Notice)</li> <li>We can identify individual claimant support needs</li> <li>We can measure the types of engagements and support methods taken to enable claimants to make a claim to UC</li> <li>We will have an agreed process of reviewing the initial claimant journeys to inform future design/decisions</li> <li>We have a process to take Discretionary Hardship Payment (DHAP) claims, assess these and make payments</li> <li>We can test the effectiveness of the labour market proposition for M2UC claimants</li> </ul>	<ul style="list-style-type: none"> <li>MAM</li> <li>User research (solicited and unsolicited)</li> <li>We capture any identified claimant support needs (e.g. digital literacy) in the initial conversations</li> <li>We have a sufficiently sophisticated framework to connect up our learning from different sources in a coherent way</li> <li>DHAP process in place</li> <li>Work Coaches able to provide labour market support and operate conditionality regime</li> <li>Ensure user research and data analysis focuses on labour market engagement/outcomes as well as transfer process</li> </ul>	<ul style="list-style-type: none"> <li>Approach for recording all research and learning agreed</li> <li>Framework to connect learning agreed</li> </ul>
<p>We can test the criteria for inviting 20-50 claimants at the right time for them, defining and testing the inclusion and exclusion criteria</p>	<ul style="list-style-type: none"> <li>Exclusion criteria agreed and redefined as needed</li> <li>Ability to identify if a claimant meets any of the exclusion criteria</li> <li>Ability to identify claimants who meet the deferral criteria (where possible)</li> <li>Case load list available for Pilot site (Households ready to move)</li> </ul>	<ul style="list-style-type: none"> <li>Inviting the first 100 claimants that have natural interventions with us (e.g. existing appointments, quarterly reviews and work-focused interviews [WFI])</li> <li>We will record which claimants we defer/exclude</li> </ul>	

Readiness Criteria	Measures	How	Readiness status
Our delivery partners and 3 <sup>rd</sup> party stakeholders have been consulted and engaged in co-designing the service ahead of commencement of the Move to UC Pilot	<ul style="list-style-type: none"> <li>• HMRC and LA are ready and support the M2UC process</li> <li>• Stakeholders have been consulted about and have been involved in co-designing M2UC process and we are able to measure how/what they do to direct or deliver parts of the service</li> </ul>	<ul style="list-style-type: none"> <li>• HMRC and LA confirm they ready to start</li> <li>• National stakeholder exercise completed</li> <li>• Local stakeholders engaged</li> </ul>	
There are sufficient experienced and trained Operations staff in place to handle 20-50 claimants	<ul style="list-style-type: none"> <li>• DWP team in place</li> <li>• LA secondees in place</li> <li>• HMRC representative in place</li> </ul>	<ul style="list-style-type: none"> <li>• All staff in place in Harrogate</li> <li>• All staff completed training and upskilling on M2UC</li> </ul>	
The initial Move to UC pilot meets UC design, security and performance standards and is compliant with relevant DWP BAU guidance	<ul style="list-style-type: none"> <li>• We will attend relevant governance groups and have relevant sign-off prior to initiating the pilot</li> <li>• Trade Unions informed</li> <li>• We have obtained security assurance and testing regarding processes and systems used for the pilot</li> <li>• IT infrastructure in place and tested</li> <li>• Dedicated telephony line in place and tested</li> </ul>	<ul style="list-style-type: none"> <li>• Data sharing agreements with trusted partners</li> <li>• Security Assurance</li> <li>• TDA</li> <li>• BDA</li> <li>• GDPR principles</li> <li>• Equality Impact Assessment</li> <li>• Health and Safety Risk Assessment</li> <li>• Departmental and local TU meetings held</li> </ul>	

## Move to UC - Initial pilot secondary readiness criteria

Readiness Criteria	Measures	How	Readiness Status
We can control the number of claimants invited to the journey	<ul style="list-style-type: none"> <li>Manual identification of claimants/volumes in place</li> <li>Ability to measure volumes of claimants at each stage of the journey</li> <li>Ability to track volumes to ensure we do not go beyond the 10,000 claimant award cap</li> <li>Ability to control the warm-up conversation trigger points</li> </ul>	<ul style="list-style-type: none"> <li>We will log claimants that have been invited and record which stage of the journey they are in via MAM</li> </ul>	
We are ready to issue and obtain feedback on the Migration Notice	<ul style="list-style-type: none"> <li>Policy and Legal sign off of Migration Notice</li> <li>We have the ability to iterate the Migration Notice following learning and get this signed off rapidly by Policy and Legal</li> <li>Means to obtain feedback on communications</li> <li>We have a process for issuing the Migration Notice to single/couple claimants</li> </ul>	<ul style="list-style-type: none"> <li>User research is undertaken with claimants; the findings are shared to inform any required changes/iteration with Policy and Legal</li> <li>Documented sign-off from Policy</li> </ul>	
We can test the identification and record when a claim to UC has been made	<ul style="list-style-type: none"> <li>Ability to identify that the claimant has made a claim to UC</li> <li>Ability to record the claim to UC submitted date and identity verification date</li> <li>Ability to identify that a claimant is a Move to UC claimant</li> <li>Ability to identify that the claimant has been given a UC award</li> </ul>	<ul style="list-style-type: none"> <li>MAM</li> <li>UCFS</li> </ul>	<ul style="list-style-type: none"> <li>Production environment under development</li> <li>Interim solution in place for start</li> </ul>

Readiness Criteria	Measures	How	Readiness Status
We can test the process to confirm eligibility for TP	<ul style="list-style-type: none"> <li>• Ability to identify if a claimant has changed circumstances to make them no longer eligible</li> <li>• Change in partner / couple status</li> <li>• Termination of legacy benefit (Not as a result of the UC Claim)</li> </ul>	<ul style="list-style-type: none"> <li>• M2UC/UCFS data exchange will highlight couple/partner status changes</li> <li>• State of CIS interests &amp; claimant status when Migration Notice handed to claimant can be recorded.</li> <li>• CIS is checked for change in interests or status on a frequent basis until claim made to UC</li> <li>• Changes in eligibility are retained throughout the pilot for analysis</li> </ul>	<ul style="list-style-type: none"> <li>• Production environment under development</li> <li>• Interim solution in place for start</li> </ul>
We are ready to test our ability to calculate Transitional Protection for relevant claimant groups	<ul style="list-style-type: none"> <li>• Policy Assurance obtained for TP calculator</li> <li>• Ability to obtain data from various sources required to calculate TP</li> <li>• Ability to input required data into the calculator (UI available)</li> <li>• Ability to share output of calculation including TP amount with UC London</li> <li>• Ability to measure accuracy of calculation</li> <li>• Agreed process to handle complaints and appeals</li> <li>• Have a process to validate the TP calculation award</li> </ul>	<ul style="list-style-type: none"> <li>• Automated test coverage</li> <li>• Compare output of TP calc with Policy's independently worked out figure.</li> <li>• All rules used can be interrogated by Policy</li> <li>• Agree the data sources with agents &amp; SMEs</li> <li>• Working &amp; tested UI for input to calc.</li> <li>• Integration testing</li> <li>• Monitor number of successful appeals</li> <li>• Number of complaints on TP</li> </ul>	<ul style="list-style-type: none"> <li>• Production environment under development</li> <li>• Interim solution in place for start</li> </ul>
We are ready to test an explanation of how TP was calculated	<ul style="list-style-type: none"> <li>• Ability to review stored data used to calculate TP</li> <li>• Ability to measure comprehension of explanation</li> </ul>	<ul style="list-style-type: none"> <li>• Staff can access the legacy data used to calculate TP</li> <li>• Rationale and versioning of rules being captured</li> <li>• User research to measure comprehension of TP amount</li> </ul>	

Readiness Criteria	Measures	How	Readiness Status
<p>We are ready to test our ability to recalculate TP based on a valid change of circumstances or appeals</p>	<ul style="list-style-type: none"> <li>Ability to re-use data used for a previous calculation, supplemented with the data that has changed</li> </ul>	<ul style="list-style-type: none"> <li>M2UC/UCFS system exchange will supply info for recalculation.</li> <li>When re-calc triggered from 3<sup>rd</sup> party (such as HMRC), manual calculator system allows us to easily rerun information</li> <li>Previous calculation data (source, data, time) is saved in a retrievable format</li> <li>Previous calculation data can be recovered from storage accurately</li> <li>Data can be updated with relevant changes and used to re-calculate TP</li> <li>Compare with previous TP calculation to confirm difference.</li> <li>Apply TP calculation confidence measures</li> </ul>	<ul style="list-style-type: none"> <li>Production environment under development</li> <li>Interim solution in place for start</li> </ul>
<p>Our people have the knowledge to support claimants based on approved and co-designed processes</p>	<ul style="list-style-type: none"> <li>Pilot team and supporting offices are aware of and co-designed the M2UC process</li> <li>Pilot team and job centre are involved in the journey design in readiness to implement the process</li> </ul>	<ul style="list-style-type: none"> <li>Feedback and questions received from staff</li> <li>Types of questions received</li> <li>DWP Comms plan (reviewed by Harrogate JCP staff)</li> </ul>	



Readiness Criteria	Measures	How	Readiness Assessment
We can learn and iterate to inform the readiness for scaling	<ul style="list-style-type: none"> <li>• Feedback mechanisms in place</li> <li>• An understanding of the characteristics of the cases covered within pilot site in comparison to the remainder of the claimant group</li> <li>• We will have a process for incident management for Harrogate</li> </ul>	<ul style="list-style-type: none"> <li>• MAM</li> <li>• User research</li> <li>• Feedback from staff and partner organisations</li> <li>• Analysis of the data captured (qualitative and quantitative)</li> <li>• Service Management and incident reporting process</li> </ul>	
Where a claimant has successfully made a claim to UC, we will use current stop notices process to prevent overpayment of legacy benefits	<ul style="list-style-type: none"> <li>• BAU Process for DWP / LA</li> <li>• Stop notice process in place for HMRC</li> </ul>	<ul style="list-style-type: none"> <li>• BAU UCFS measurement for stop notices</li> <li>• Analysis of data specific to Move to UC claimants</li> <li>• Monitor legacy overpayments</li> </ul>	
We will learn the most effective way to manage changes of circumstances of claimants and where these are actioned across legacy and UC services	<ul style="list-style-type: none"> <li>• Number of change of circumstances that result in recalculations</li> <li>• Number of changes of circumstances identified only through engagement with claimants</li> <li>• Monitoring how change of circumstances are shared across legacy and UC – manual process agreed</li> <li>• Number of CoCs that result in the claimant becoming a CoC claimant (e.g. change of couple status)</li> <li>• Number of CoCs before the first award</li> <li>• The types of CoCs and compliance</li> </ul>	<ul style="list-style-type: none"> <li>• State of CIS interests &amp; claimant status when Migration Notice handed to claimant can be recorded.</li> <li>• CIS is checked for change in interests or status when CoC declared</li> <li>• Changes in eligibility are retained throughout the pilot for analysis</li> <li>• UCFS CoC data</li> </ul>	