

Programme Summary

Move to UC:
The Move to UC Pilot continues in Harrogate with initial and readiness conversations being held with the second cohort of claimants. Work continues to design the journey for couples and discussions continue with identified partners and HMRC colleagues to develop the respective Partner and HMRC approaches. Publication of the Move to UC Evaluation Strategy, discussed at November Programme Board, has now been rescheduled due to the impact of Purdah and is forecast for March 2020 with this to be confirmed in the next few weeks.

Universal Credit - Consolidation:
We continue to work closely with the Departmental Executive team to mitigate IR35 issues and work through the potential impacts on our contractor resources. This activity is now taking up a significant amount of UC Digital Leadership time with an update scheduled for PDE on 4 December. The Digital Plus trial continues in 26 sites with formal evaluation now due to start later in December. Expansion of the Digital Plus concept to an additional 100 sites by April 2020 commenced as planned on 30 October with 5 sites with a further 20 sites on track to commence on 18 December. Latest Full Service releases deployed include: Removal of the three year High Level Sanctions with the maximum duration now six months; introducing Intensive Personalised Employment Support - a new voluntary provision for people with disabilities and complex barriers to employment and following agent feedback e mail notifications will now be sent to claimants during sociable hours (8.00 – 18.30). In addition to the usual performance and technical fixes the process by which landlords request an Alternative Payment Arrangement is going to be changed over the next two weeks with some landlords now able to provide their bank account details digitally removing the need for case managers to follow up by phone. Stocktake on progress with delivering Phase 8 outcomes scheduled for PDE on 22 January.

Programme Updates:
Significant amount of work continues across the Programme to impact election manifestos to understand implications and scenario plan potential consequences. Purdah restrictions have limited our recent stakeholder engagement activities with future events now scheduled for later in December (Show and Tell workshop – updating stakeholders on workshop outcomes to date) and in January (Move to UC evaluation workshop) with a wider Stakeholder Engagement update scheduled for December Programme Board. The field study stage of the National Audit Office (NAO) Getting to First Payment study continues with support sessions delivered to the team on Cost Model, Landlord Portal and Change Impacting followed by a visit to Stockton Jobcentre and Service Centre to meet with Work Coaches and Service Centre staff to talk about their experience of supporting claimants through this first part of the claimant journey. Over the next couple of weeks, the NAO will invite external stakeholders to provide their views on the UC service.

In response to a decision notice from the Information Commissioner requesting the Department to immediately release UC Programme Board Papers for May, June, July and September 2018, we have lodged an appeal with the 1st tier Tribunal. We currently have a release strategy in place that commits to publishing UC Programme Board papers once they are two years old and we are discussing our approach with DWP legal colleagues and Counsel on how best to evidence our reasoning for this preferred timescale, while also taking steps to examine each document and consider use of alternative exemptions. We are working with Scottish Government to find a workable solution to meet their policy intent on Split Payments within a household with good progress made so far. Following the Work and Pensions Select Committee report on Universal Credit and Survival Sex we are writing a Help and Support Guide for stakeholders to support a variety of claimants with complex needs which we expect to publish after purdah. The briefing team is working on the first tranche of introductory briefings for new Ministers which have been commissioned by Private Offices.

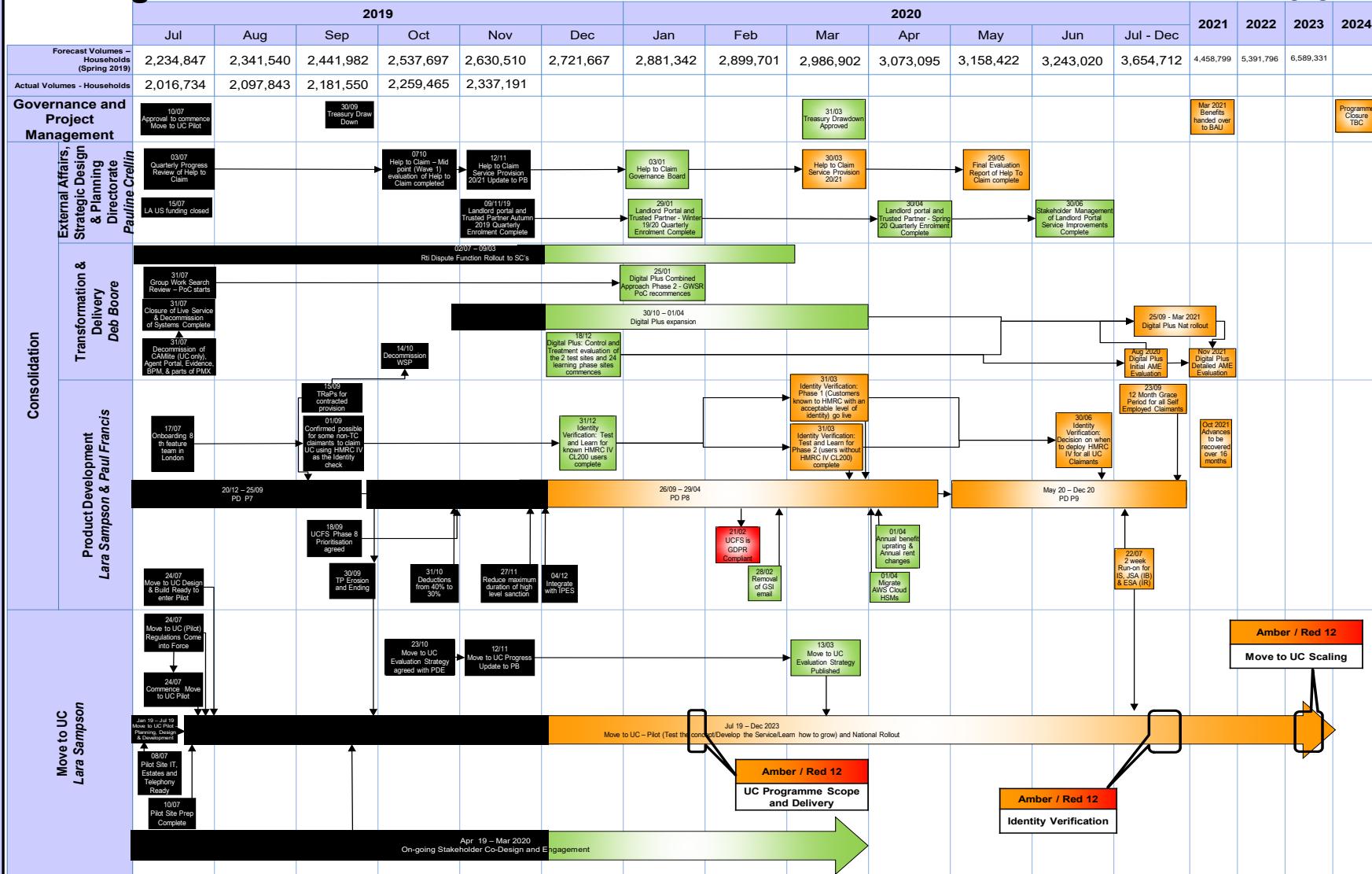
UC Full Service Product Development Phase 8 Outcomes

Programme Level Milestones	Date	RAG
Deductions from 40% to 30%	31/10/19	Completed
Reduce maximum duration of high level sanction	27/11/19	Completed
ID Verification - Dynamic Trust Platform MVP for UC developed ready for testing		Completed
Integrate with Intensive Personalised Employment Support (IPES)	04/12/19	Completed
Identity Verification: Test and Learn for known HMRC IV CL200 users complete		Phase 8
UCFS is General Data Protection Regulation (GDPR) Compliant		Phase 8
Removal of GSI email	28/02/20	Phase 8
Identity Verification: Phase 1 (Customers known to HMRC with an acceptable level of identity) go live		Phase 8
Identity Verification: Test and Learn for Phase 2 (users without HMRC IV CL200) complete		Phase 8
Annual benefit uprating	01/04/20	Phase 8
Annual rent changes	01/04/20	Phase 8
Migrate Amazon Web Services (AWS) Cloud Hardware Security Models (HSMs)	01/04/20	Phase 8

UC Programme E2E Critical Path

Official - Sensitive

V0.322



Critical / Key Milestones - Consolidation

External Affairs, Strategic Design and Planning		
Landlord portal and Trusted Partner - Winter 19/20 Quarterly Enrolment Complete		29/01/20
UC Programme Plan (2020-24)		19/02/20
NAO report Fraud & Error Value for Money Review (UC case study)		28/02/20
Help to Claim Service Provision 20/21		30/03/20
Treasury Drawdown Approved		31/03/20
Help to Claim Review Complete		29/05/20
NAO report Getting to First Payment Published		18/05/20

Transformation & Delivery, Including Labour Market		
Digital Plus Trial control and treatment group live in 24 remaining digital plus learning phase sites		25/11/19
Digital Plus Trial Expansion Phase – Go live in 20 sites		18/12/19
Digital Plus Trial control and treatment evaluation of 2 test sites go live		18/12/19
Digital Plus Combined Approach Phase 2 - Group Work Search Review PoC recommences		25/01/20
Digital Plus Trial Expansion Phase completes		01/04/20
Rti disputes function: rollout to Service Centres complete		09/03/20
Management of Rti Dispute Team and HMRC relationship transferred to UC Operations		09/03/20

Product Development		
Reduce maximum duration of high level sanction		27/11/19
Dynamic trust platform MVP (inc HMRC IV + Verify) up and running, integrated with UCFS & testing with a small cohort of UC claimants		29/11/19
Integrate with Intensive Personalised Employment Support		04/12/19
Identity Verification: Test and Learn for known HMRC IV CL200 users complete		31/12/19
UCFS is General Data Protection Regulation (GDPR) Compliant		21/02/20
Removal of GSI Email		28/02/20
Identity Verification: Phase 1 (Customers known to HMRC with an acceptable level of identity) go live		31/03/20
Identity Verification: Test and Learn for Phase 2 (users without HMRC IV CL200) complete		31/03/20
Migrate Amazon Web Services (AWS) Cloud Hardware Security Models		01/04/20
Annual benefit uprating		01/04/20
Annual rent changes		01/04/20

Critical / Key Milestones – Move to UC

Migration		
Move to UC Pilot Update / Strategy to Programme Board		12/11/19
Move to UC Evaluation Stakeholder Engagement		07/01/20
Move to UC Evaluation Strategy Published		13/03/20

Risk Details	Expected Flight Path	Causes & Consequences
<p>Risk Owner: Paul Francis P74 - Identity Verification We may not have a solution in place which delivers enough affordable remote Identity Verification from March 2020.</p> <p>Risk Raised - Aug 18 Current Risk Rating - A/R12 (Impact 4/ Likelihood 3) Target Risk Rating - A/G4 (Impact 4/ Likelihood 1) Target Date - Apr 20 Impact Date - Nov 20</p>		<p>Causes</p> <ul style="list-style-type: none"> Integration with HMRC IV may be delayed, encounter difficulties and will drive additional work into the UC product backlog. For Tax Credit claimants, reuse of HMRC IV may not be delivered in time or provide sufficient coverage to maintain IDV % beyond Mar 20 (contract end date). For other claimant types, appropriate solutions may not be identified in order to increase the remote IDV % through 2020. <p>Consequences:</p> <ul style="list-style-type: none"> Cannot preserve the business case assumption cost per ID for Verify and the new solution. Delivery of other operational efficiencies and automation in the UC may be delayed if extensive build time is required to work on another solution. Increased or additional face to face verification, resourcing and estate challenges. Potential impacts on payment timeliness. Significant Reputational damage. <p>Milestones / Mitigation Delivered:</p> <ul style="list-style-type: none"> An MOU between ID&T and HMRC has been submitted for an review & agreement. The MOU will agree how ID&T will work with HMRC and funding confirmed. MOU agreed and signed by both parties, funding and team in place to deliver. Design for TC customers was presented at BDA 11/06/19 with recommended design and was agreed; proceeding with building the solution for beta. Initial meetings have taken place with Lawyers and UC Secure Design with regards to the End to End User journey and a further workshop took place 13/06/19. Work to map out the potential End to End User journey at a workshop between Lawyers and UC Secure Design held 24/06/19; the formal response from Lawyers received (27/06/19). We have Legal cover to utilise HMRC IV & augmented capabilities. Following meeting (24/06/19) to review the journey with secure design, the Sheffield and Blackpool teams have a shared understanding of the ID&T Capabilities required and began to map these onto the proposed Customer Journey for Mar 20 (mapping work is ongoing). UC Secure Design and Security sighted on the 24/06/19 outputs to inform any future risk assessments deemed necessary post Lawyers advice (27/06/19). Working BDA (29/08) agreed to focus on claimants with an active HMRC IV gateway account (CL200) with lawyers confirming (03/09) associated non repudiation risk is medium to low. Confirmed GOV.UK Verify is available in the Transition period March 20 to April 21. Confirmed non-TC claimants can claim UC using HMRC IV as the Identity check - confirmed at PDE 11/09/19 along with approval to proceed with tiered phased delivery approach.

Risk Details	Expected Flight Path	Causes & Consequences
<p>Risk Owner: Lara Sampson P79 - Move to UC - Scaling The UC Programme may be unable to begin scaling and sustain the rollout of UC from Autumn 2020 because:</p> <ul style="list-style-type: none"> of unexpected changes to UC Programme Scope; the planned level of automation is not achievable; UC Operations and/or delivery Partners are unable to manage the required volume of claims. <p>Risk Raised - Mar 19 Current Risk Rating - AR12 (Impact 4 / Likelihood 3) Target Risk Rating - AG4 (Impact 4 / Likelihood 1) Target Date - Nov 21 Impact Date - Dec 23</p>		<p>Causes:</p> <ul style="list-style-type: none"> Unexpected changes to UC Policy or Scope resulting from wider Government decisions (e.g. Fiscal Events, EU Exit), legislative requirements or in the political environment may require additional elements to be incorporated into UC, as result delivery timescales become unachievable, impacting the Move to UC process and delivery plan. We may be unable to provide sufficient clarity of the design in time for Operations (including Delivery Partners) / Stakeholders to prepare for and start scaling in Autumn 2020. Although internal assessment confirms we are ready to start scaling in Autumn 2020, we may not have the necessary support of Stakeholders / Delivery Partners. We may not get sufficient stakeholder support for the evaluation strategy/approach within the timescales to provide enough confidence for scaling decisions. Backlog prioritisation, design change or reliance on external partners to implement IT changes to DWP delivery schedules may impact the automation of services. Volumetric forecast assumptions showing fewer natural migrations than previously anticipated. Delivery Partners/Stakeholders may not have sufficient confidence in/clarity of the roll-out Strategy to enable Move to UC scaling to commence to time. <p>Consequences:</p> <ul style="list-style-type: none"> The Programme is unable to successfully progress from the Move to UC phase to the start of the roll out of UC. <p>Milestones / Mitigation Delivered:</p> <ul style="list-style-type: none"> Update provided to PDE showing the 'early thinking' on the future shape of the Pilot, beyond the first cohort of claimants (100) (05/06/19). National level stakeholder event (13/06/19). Analyses of Latest natural migration volumes and update to Programme Board (July 19). F2F interventions testing begins (24/07/19) Indebtedness stakeholder workshop (30/08/19). Consent stakeholder workshop (20/09/19). Move to UC Evaluation Strategy approved at PDE (23/10/19). Stakeholder workshop - Improving Information for Third Parties (25/10/19). The 'Move to UC Evaluation Strategy to inform scaling was endorsed at Programme Board (12/11/19). The Pilot progress to date and high level plan for the next phase to be presented to Programme Board (12/11/19). MiUC Checkpoint (Harrogate Pilot) - agree progression from 'Test the Concept' phase to 'Develop the Service phase' (14/11/19). UCAD monitoring Forecast Workload Volumes against UC actuals to understand why natural migration is less than expected - complete 'Test the Concept' phase findings presented to PDG to agree to move to 'Develop the Service' phase (19/11/19).

Risk Details	Expected Flight Path	Causes & Consequences
<p>Risk Owner: Pauline Crellin P71 - UC Programme Scope and Delivery The delivery of the agreed UC Programme scope is put at risk due to:</p> <ul style="list-style-type: none"> Scope change from DWP Ministerial initiatives or wider Government demands e.g. future Budgets, EU Exit & Spending Reviews. Re-prioritisation of the backlog reflecting changing priorities. Demands from external organisations to introduce changes or delay delivery of certain changes. <p>Risk Raised - Apr 18 Current Risk Rating - AR12 (Impact 4/ Likelihood 3) Target Risk Rating - AG4 (Impact 4/ Likelihood 1) Target Date - Nov 21 Next Impact Date - Jan 20</p> <p>To Note: This risk has multiple Target Dates & Impact Dates - the first linked to EU Exit. The risk is under constant review and dates will be updated accordingly.</p>		<p>Causes:</p> <ul style="list-style-type: none"> The Programme identifies scope changes / improvements but is unable to deliver them quickly enough for a number of reasons (e.g. Developer capacity) to satisfy stakeholders. Pressure from external sources to deliver changes or fill gaps to the current UC design. DWP and other cross government changes to policy including obligations linked to exiting the EU, future Budget changes & Spending Reviews, may result in unplanned design changes. Outcomes of Judicial Reviews/Tribunal Decisions. Unable to maintain scalability to the rollout plan. <p>Consequences:</p> <ul style="list-style-type: none"> We may continue to add new features to the UC Backlog and need to keep the Product Development team in place longer than expected. We may not deliver operational efficiencies as planned. We may have to delay the start of 'Move to UC' at scale. We may not realise all of the benefits and savings agreed in the Full Bus. Case. We may suffer significant reputational damage and continued serious stakeholder concern. Layering changes without sufficient opportunity to consolidate delivery. Scope change and/or backlog reprioritisation i.e. as a result of obligations falling from the EU Exit Programme, may impact on the Programme's existing and planned automation of services. Consequently, having an adverse impact on planned efficiencies and improvements to operational productivity delivered through automation meaning the growth in caseload and delivery of wider UC benefits is not achievable. <p>Milestones / Mitigation Delivered:</p> <ul style="list-style-type: none"> The Move to UC Regulations handling plan discussed and agreed with MfE and PBL (25/06/19). Spending Review Challenge session to reduce and refine initial SR19 choices (01/07/19). Service Performance Stocktake (02/07/19, 27/08/19, 26/09/19 & 24/10/19). The Move to UC (including SDP) Regulations 'detailed steps' to be agreed with Parliamentary Business Legislation team (W/E 05/07/19). The Move to UC (including SDP) Regulations in place for 'up to 10,000' cases to be migrated during the Pilot (Jul 19). UC impacting for SR19 completed (Aug 19). Regular progress reported to PDE on P7 Backlog which enabled effective decision making including contingency requirements. UC Impacting for Autumn Budget (Oct 19).

Programme Overall Forecast 2019 / 2020 -

	2014/15 Outturn £255m	2015/16 Outturn £362m	2016/17 Outturn £403m	2017/18 Outturn £448m	2018/19 Outturn £445m
Total Programme Spend	£2,775m	2019/20 Range Risks £0.0m Opps (£0.6m)			

	Previous Forecast	Current Forecast	Forecast Movement	Budget	Variance to Budget	2020/21 Forecast
Full Service Delivery	207,369	207,275	94	196,475	(10,800)	56,335
UC Product Development	71,954	70,290	1,664	74,375	4,086	68,935
Move to UC	8,847	8,794	53	9,339	544	12,265
UC Engagement	78,592	78,170	422	79,617	1,447	285,099
Rest of Programme	3,811	3,778	33	(7,526)	(11,304)	(39,277)
Total Financial Costs (Inflation)	0	0	0	0	0	1,455
Total UC Programme	370,573	368,307	2,266	352,280	(16,027)	384,810

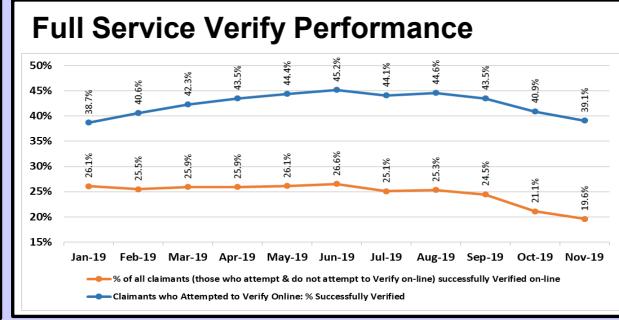
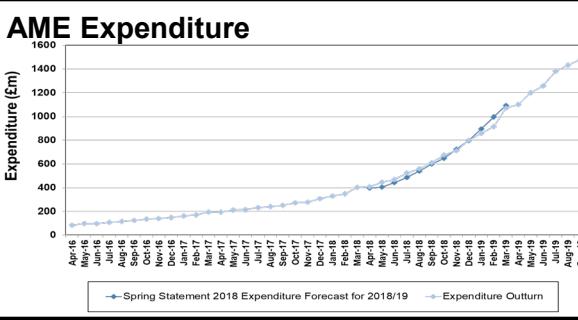
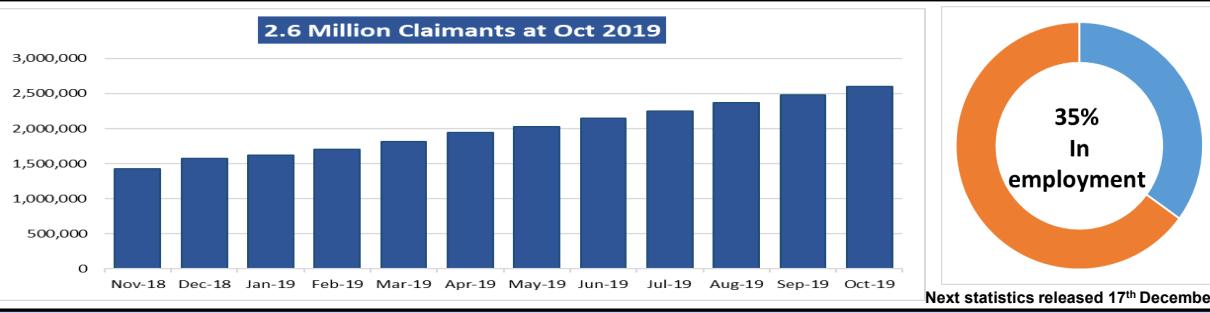
Summary

2019/20 Key Points:-

- In P7, the forecast reduced by £2.3m. Mainly due to £1.7m in lower Product Development staffing and IT costs, and £0.4m in UC Engagement, as a result of lower Child Maintenance charges and Programme staffing costs.
- There has been no budget change.
- The forecast is £16.0m over budget (last month £18.3m over)
- Within the Full Service delivery the element associated with Operations has not been refreshed, due to the timing of preparation of this report.**

2020/21

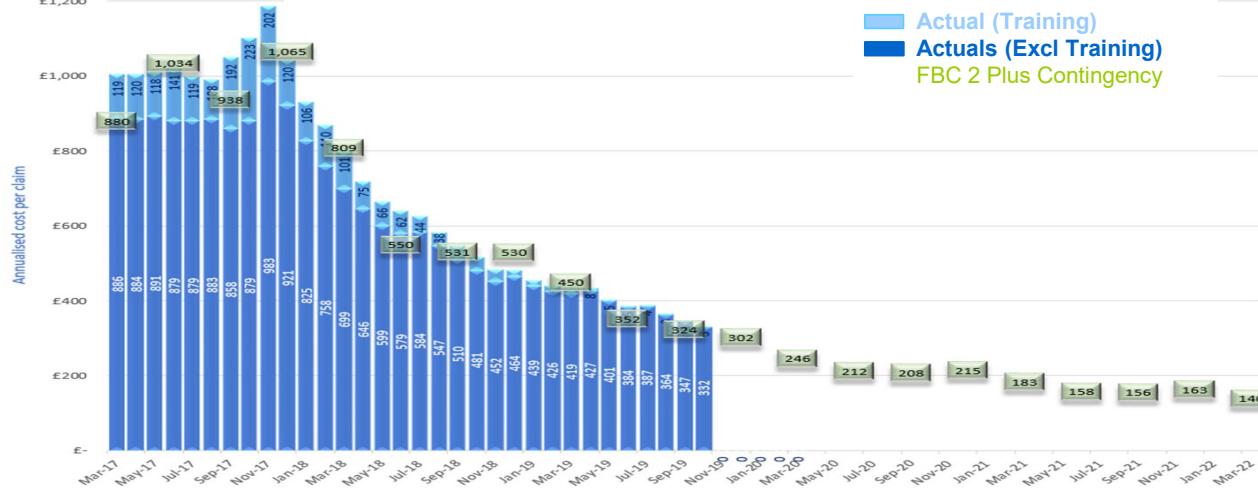
- no material movement in overall forecast.



Affordability Service can be effectively delivered within agreed tolerance of funds

- Unit Costs (forecast v actual) – post Autumn Budget
- Actual for October 2019 is £332 against target of £271

Unit Cost per Caseload (claims)



Caseload (Households) Forecast Volumes - Spring 2019 Volumes

Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19
1,883,004	2,005,412	2,122,505	2,234,847	2,341,540	2,441,982	2,537,697	2,630,510	2,721,667

Actual Caseload (Households)								
1,747,022	1,837,923	1,922,998	2,016,734	2,097,843	2,181,550	2,259,465	2,337,191	

Fraud & Error We can identify and prevent Fraud & Error and manage risk effectively

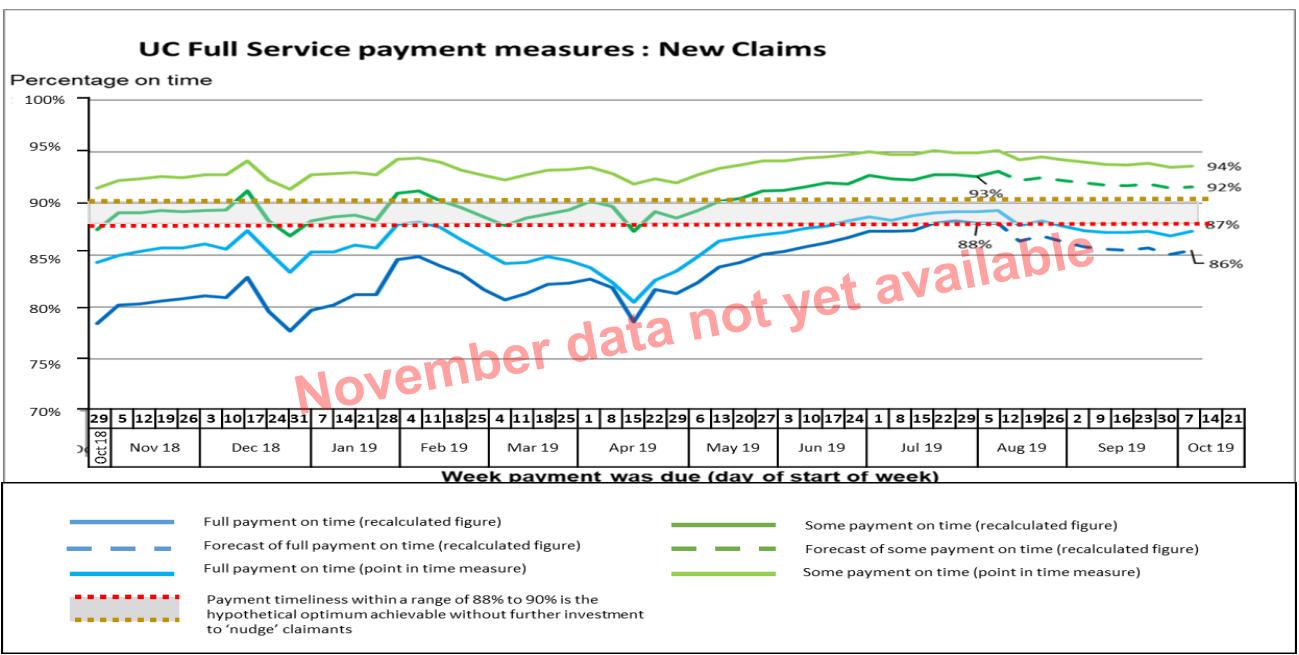
- Percentage Claimants paid accurately
- Levels of MVFE

Measures	Trend Analysis												
	Nov '18	Dec '18	Jan '19	Feb '19	Mar '19	Apr '19	May '19	Jun '19	Jul '19	Aug '19	Sep '19	Oct '19	3 Month Average
Payment Accuracy	96%	93%	92%	97%	94%	89%	89%	94%	91%	93%	94%	94%	94%
Caseload Growth Measure													
Levels of Monetary Value of Fraud & Error (MVFE)	MVFE statistics for 2018/19 published May 2019 included Full Service data (70%). Overall Fraud, Error and Overpayments of 8.6%, an increase of 0.3% over 2017/18 levels. Work continues to finalise more timely metrics to support improvement activity with the first quarterly report expected by November.												

End to End Service Maturity An effective and efficient end to end service characterised by:-

- Claimants being paid on time and who trust on line channels and can self-serve
- Support delivered to claimants with additional needs which are addressed and a tailored service delivered to claimants with complex needs

- % claimants paid on time in First Assessment Period – full and part payments

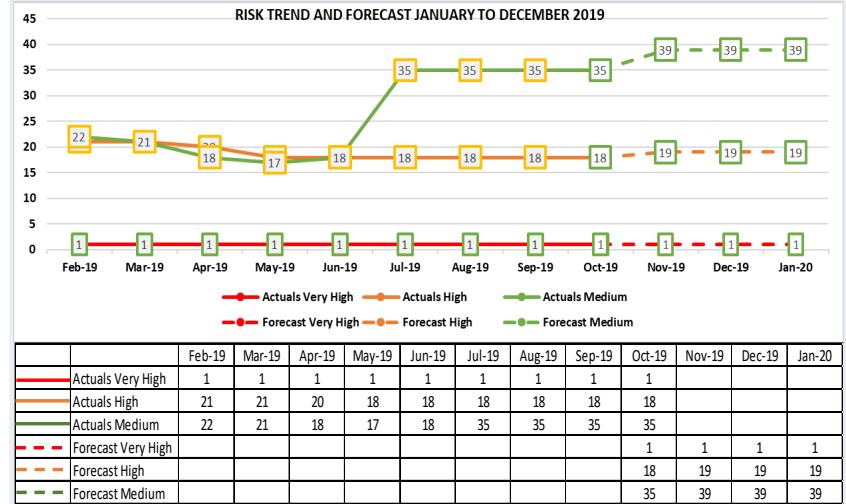


Security Service is secure with appropriate accreditations and agents & claimants are assured this is the case

Risk Trend: Forecast and highlights

October 2019 has seen the Secure Design team review 30 Security and Fraud risks across two sessions. A number of new risks have appeared as a result of new technologies being introduced and the review of remote working practices to improve efficiency across the programme. The Dataworks AWS development continues to affect the reduction in high risks, however this work has been re-baselined for completion in Feb '20 - if this is realised the associated high risks will drop off. R133 has seen further progress on RBAC implementation to Decision Makers which demonstrates good progress on this front, for us to achieve the risk reduction from V. High to High we still must keep progressing with Work Coaches and Case Managers which has now begun research and analysis stage. The delay in risk reduction is due to 3 roles being different which requires individual research, analysis and implementation for each role, as opposed to just the once as originally expected. Regarding CyberArk the risk position will remain unchanged until a production MVP has been deployed, there is an intention to deliver a UC MVP in Dec/Jan. This will be confirmed once professional services have been allocated to validate UC's approach/design.

Note: only Very High, High and Medium risks are reported. UCFS Risk Management is an ongoing iterative process, new and emerging areas of risk may also affect forecasted figures.



Target Risk Posture:

UCFS Risk Appetite position:

- A 'Cautious' risk appetite with regards to the protection of personal data & monetary fraud
- An 'Open' risk appetite with regards to technical delivery solutions, considering
 - New & emerging technologies
 - Value for money and efficiency

Current risk position:

- UCFS is considered as currently operating within Appetite, but at a higher tolerance level than is sustainable for the long term
- Long term risk posture should be management of risk at MEDIUM, minimal HIGH risks by exception through escalation

Risk Targets:

- VERY HIGH/HIGH risk retreatment to be the focus of 2019 and into 2020
- Risk forecast is an estimate based on implementation and remediation under 'Future Focus', and not withstanding P8 prioritisation

Current & Future Focus:

The next 6 months:

- Further develop and implement user roles and access control (Role Based Access Control (RBAC)) to claimant personal and sensitive data – implementing the principles of 'need to know' and 'least privileged'; this will continue through P8 with risk reduction expected in Q1 2020
- Develop, design and implement centralised control over privileged/administrative access to all environments; design and delivery has moved into early 2020 due to the CyberArk SME moving on from the delivery team, now targeting the end of Q1 2020 for risk reduction.
- Automation and improvement of technical vulnerability and patch management to meet mandated Service Level Agreements; risk reductions estimated early 2020.
- Assess the next phase of Database encryption (DB3) impact on risk. Complete searchable encryption (from DB2); reliant on Data Works move to AWS - Delayed to Q1 2020
- Work with Cyber Resilience Centre to establish top 10 risks scenarios for security monitoring and alerting; implement strategic tooling: risk reductions estimated through Q1/2 2020

Achievements/Progress:

- Work on the RBAC roadmap continues.
 - Serco (350 agents): **Done**
 - Decision Makers (2000 agents): **Fully rolled out to all 2047 members of staff in Decision Making**
 - Work Coach, Case Manager, SIL (~21,000 agents): **analysis and research in progress**
 - Fraud investigation (~2,000 agents): **early analysis underway**
 - Debt Management (500+ agents): **not planned for P8, but early analysis underway due to an NSAR request**
- Privileged Access Management:
 - Re-scoping with DWP Digital Security and CyberArk professional services (31/10) to understand MVP delivery.

Service Stability End-to-end service is resilient, robust and can handle throughput with assured Business Continuity procedures in place

