

### 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. We continue to gather learning from piloting the Work Coach-led approach in Harrogate, iterating processes and guidance accordingly. Design preparation for the Partner-led approach has commenced ahead of co-designing with our selected partner later in January. We have started planning the HMRC-led approach, with agreement reached to mobilise a dedicated co-design team by end of January and with outline plans to commence piloting the approach from April. 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 stakeholder consultation scheduled to commence with a Move to UC evaluation workshop on 6 February.

**Universal Credit - Consolidation:**  
We continue to work closely with the Departmental Executive team to mitigate IR35 issues, working through the potential impacts on our contractor resources. This activity continues to take up a significant amount of UC Digital Leadership time with over 140 individual contractor conversations underway and planned to complete through January. We have secured approval to create over 100 Fixed Term Appointment roles with a progress update, along with the mid-phase (8) stocktake scheduled for PDE on 22 January. The Digital Plus trial continues in 26 sites with formal evaluation now due to start early February. Expansion of the Digital Plus concept to an additional 100 sites by April 2020 continues on plan with 20 sites commencing on 18 December and a further 25 starting on 15 January.

Latest Full Service releases deployed include: Functionality to allow children to be verified, in most cases, via the Life Events Portal (LEV) - reducing operational manual activity and disrupting advances fraud; Automating Managed Payments to Private Rented Sector landlords where a claim has an Alternative Pay Arrangements in place - reducing the burden on Operations and enabling the functionality to auto-pay Social Rented Sector landlords using bank account details rather than a customer reference number – enabling these landlords to be paid at the same time as claimants. In addition to the usual performance and technical fixes landlords are now able to view a list of payments we have sent them, along with information for each transaction, supporting them with their reconciliation and accounting.

**Programme Updates:**  
The field study stage of the National Audit Office (NAO) Getting to First Payment study is progressing with the team currently completing an exercise reviewing a sample of cases who were not paid in the first assessment period, to understand the payment blockers. In next the next couple of weeks, they will receive sessions on 'sustainable case management' and updates on Help to Claim and Stakeholder engagement. Help to Claim Year 2 arrangements were discussed and agreed with Ministers on 7 January and now subject to final confirmation with Secretary of State. The Help and Support Guide, to help stakeholders make sure claimants get the financial and practical support they need to claim UC, has been drafted ahead of sharing with stakeholders and publishing towards the end of February. We have examined all of the Programme Board papers in respect of the Information Commissioner decision requesting these are released immediately for the meetings held on May, June, July and September 2018, identified additional exemptions that apply should our appeal be unsuccessful and we are instructed to release the papers immediately. This information, has been provided to Counsel and will be lodged with the Appeal Tribunal by mid-January. Ahead of clarifying whether the new Work and Pension Select Committee (expected to be formed by end of January) will want responses to old reports we continue to work on drafting (Two Child policy and Survival Sex) responses in case they are required. DWP orals are on 27 January.

### 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		Completed
UCFS is General Data Protection Regulation (GDPR) Compliant		Phase 9
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

### 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 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 Expansion Phase – Go live in 20 sites		18/12/19
Group Work Search Review PoC recommences		24/01/20
Digital Plus Trial control and treatment evaluation of 2 test sites go live		19/02/20
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
Natural Language Call Steering (NLCS): Present NGCC proposition for delivery of NLCS application to PDE		11/03/20
Group Work Search Reviews PoC Phase 2 - Go-live in Phase 2 sites		18/03/20
Automated Reason for Contact (AR4C): UC Verint Proof of Concept complete		27/03/20
Digital Plus Trial Expansion Phase completes		01/04/20
Digital Plus Trial Expansion Phase - Benefits Realisation Report complete		01/05/20

Product Development		
Identity Verification: Test and Learn for known HMRC IV CL200 users complete		31/12/19
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
UCFS is General Data Protection Regulation (GDPR) Compliant		29/05/20

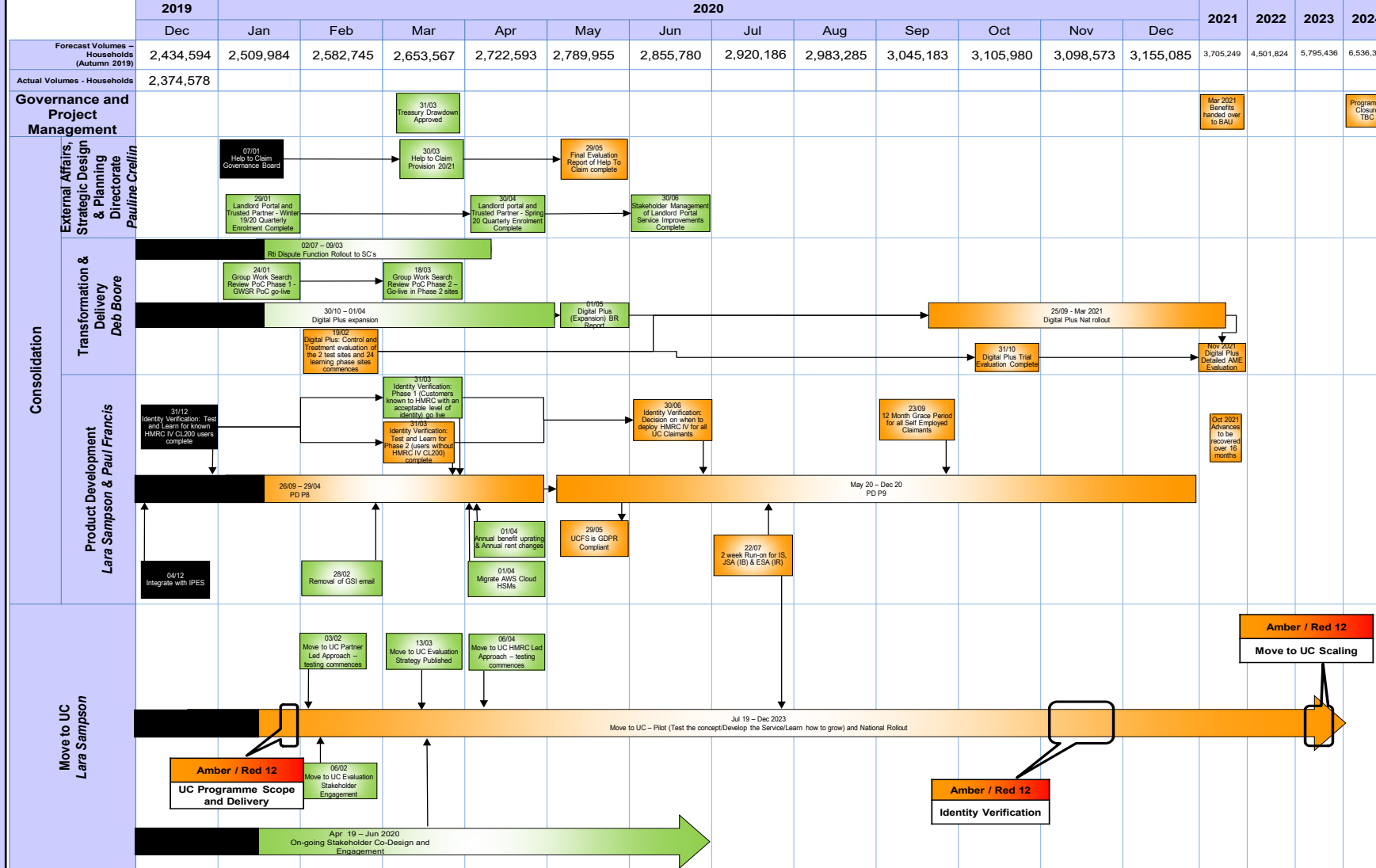
### Critical / Key Milestones – Move to UC

Migration		
Move to UC Partner Led Approach testing commences		03/02/20
Move to UC Evaluation Stakeholder Engagement Workshop		06/02/20
Move to UC Scaling Update to Programme Board		18/02/20
Move to UC Evaluation Strategy Published		13/03/20
Move to UC HMRC Led Approach testing commences		06/04/20

## UC Programme E2E Critical Path

Official - Sensitive

V0.326



Risk Details	Expected Flight Path	Causes & Consequences
<p><b>Risk Owner:</b> Paul Francis  <b>P74 – Identity Verification</b>                      We may not have a solution in place which delivers enough affordable remote Identity Verification from March 2020.  <b>Risk Raised –</b> Aug 18  <b>Current Risk Rating –</b> A/R12 (Impact 4/ Likelihood 3)  <b>Target Risk Rating –</b> A/G4 (Impact 4/ Likelihood 1)  <b>Target Date –</b> Apr 20  <b>Impact Date –</b> Nov 20</p>		<p><b>Causes:</b></p> <ul style="list-style-type: none"> <li>Integration with HMRC IV may be delayed, encounter difficulties and will drive additional work into the UC product backlog.</li> <li>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).</li> <li>For other claimant types, appropriate solutions may not be identified in order to increase the remote IDV % through 2020.</li> </ul> <p><b>Consequences:</b></p> <ul style="list-style-type: none"> <li>Cannot preserve the business case assumption cost per ID for Verify and the new solution.</li> <li>Delivery of other operational efficiencies and automation in the UC may be delayed if extensive build time is required to work on another solution.</li> <li>Increased or additional face to face verification, resourcing and estate challenges.</li> <li>Potential impacts on payment timeliness.</li> <li>Significant Reputational damage..</li> </ul>
<p><b>Planned Milestones / Mitigation:</b></p> <ul style="list-style-type: none"> <li>The recommended approach to Identity Verification from April 2020 will vary depending on the availability of Verify. Options were presented to PDE(04/12/19) to inform decision making. The final solution will be presented to PDE (Feb 20).</li> <li>Progress update to Programme Board on HMRC IV testing and commercial activity &amp; Deployment (Jan 20).</li> <li>Undertake a test and learn in a job centre with real users/data + technical interactions between ID&amp;T, HMRC and Findr/Matching service in a staging environment for:                             <ul style="list-style-type: none"> <li>Customers not known to HMRC IV CL 200 (cohort 2) - (31/03/20).</li> </ul> </li> <li>Public Beta go live for customers known to HMRC (31/03/20).</li> <li>Deployment decision point for Phase 2 - HMRC IV for all UC claimants (30/06/20).</li> <li>Monitoring via regular tripartite progress meeting between ID&amp;T, HMRC and UC (ongoing).</li> <li>Delivery Assurance Ceremony fortnightly calls to track progress and remove blockers (ongoing).</li> <li>Following implementation the solution will be monitored and assured via papers, presentations and updates to PDG/PDE.</li> </ul>	<p><b>Milestones / Mitigation Delivered:</b></p> <ul style="list-style-type: none"> <li>Design for TC customers was presented at BDA 11/06/19 with recommended design and was agreed; proceeding with building the solution for beta.</li> <li>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.</li> <li>Work to map out the potential End to End User journey at a workshop with 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 &amp; augmented capabilities.</li> <li>Following meeting (24/06/19) to review the journey with secure design, the Sheffield and Blackpool teams have a shared understanding of the ID&amp;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).</li> <li>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.</li> <li>Confirmed GOV.UK Verify is available in the Transition period March 20 to April 21.</li> <li>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.</li> <li>Options presented to PDE to support decision making (04/12/19).</li> <li>Identity Verification: Test and Learn for known HMRC IV CL200 users (31/12/19)</li> </ul>	<p><b>Apr 20 - We expect this risk to be reduced to Amber 8 (Impact 4 Likelihood 2)</b> – Once we have successfully tested and commenced the public beta for known HMRC customers to apply for UC without a need for an additional identity check.</p> <p><b>Oct 20 - We expect this risk to be mitigated to Amber/Green 4 (Impact 4 Likelihood 1)</b> – Once we are assured that the IDV solution is fully embedded and is delivering effective affordable Identity Verification to the agreed % levels.</p>
<p><b>To Note:</b> Implementation will be managed with a 'soft launch' roll-out</p>		

Risk Details	Expected Flight Path	Causes & Consequences
<p><b>Risk Owner:</b> Lara Sampson  <b>P79 – Move to UC - Scaling</b>                      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"> <li>of unexpected changes to UC Programme Scope;</li> <li>the planned level of automation is not achievable;</li> <li>UC Operations and/or delivery Partners are unable to manage the required volume of claims.</li> </ul> <p><b>Risk Raised –</b> Mar 19  <b>Current Risk Rating –</b> AR12 (Impact 4 / Likelihood 3)  <b>Target Risk Rating –</b> AG4 (Impact 4 / Likelihood 1)  <b>Target Date –</b> Nov 21  <b>Impact Date –</b> Dec 23</p>		<p><b>Causes:</b></p> <ul style="list-style-type: none"> <li>Unexpected changes to UC Policy or Scope resulting from wider Government decisions (e.g. Fiscal Events, EU Exit), legislative requirements or changes in the economic environment may require reprioritisation or additional elements to be incorporated into UC, as result delivery timescales become unachievable, impacting the Move to UC process and delivery plan. We may not have the necessary resource (capacity or capability) to deliver the multiple 'Who Knows Me' approaches in the Pilot leading to insufficient evidence to support Move to UC scaling decisions</li> <li>Inaccurate/unreliable/unavailable data may impact our ability to accurately calculate/automate TP payments, adversely affecting claimants payments, operational resource requirements and the planned Move to UC processes.</li> <li>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 20.</li> <li>Although internal assessment confirms we are ready to start scaling in Autumn 20, we may not have the necessary support of Stakeholders / Delivery Partners.</li> <li>We may not get sufficient stakeholder support for the evaluation strategy/approach within the timescales to provide enough confidence for scaling decisions.</li> <li>Backlog reprioritisation, design change or reliance on external partners to implement IT changes to DWP delivery schedules may impact the automation of services.</li> <li>Volumetric forecast assumptions showing fewer natural migrations than anticipated.</li> <li>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.</li> </ul> <p><b>Consequences:</b></p> <ul style="list-style-type: none"> <li>The Programme is unable to successfully progress from the Move to UC Pilot phase into scaling and sustain the roll out of UC.</li> </ul>
<p><b>Planned Milestones/ Mitigation:</b></p> <ul style="list-style-type: none"> <li>Develop/Define the 'Move to UC Evaluation Strategy to inform scaling, which will be:                             <ul style="list-style-type: none"> <li>Workshop with external stakeholders (06/02/20 TBC);</li> <li>Ministerial submission on final approach and publication strategy (Feb 20); and</li> <li>published externally (Mar 20).</li> </ul> </li> <li>Explore multiple delivery approaches to determine the optimum delivery model(s) to support claimants, i.e. existing F2F interventions, utilising external partners and adopting existing HMRC channels to instigate the process (ongoing).</li> <li>Targeted communications as we move from Pilot to Scaling (ongoing).</li> <li>Consolidation delivery through 2019/20 to ensure performance is sustained on UC as claimant volumes increase through a combination of natural and managed migration (ongoing).</li> <li>Announcement on the new Move to UC volumes (TBC).</li> <li>UCAD monitoring of Forecast Workload Volumes v UC actuals to continually assess tolerance levels (ongoing).</li> <li>'Move to UC' commencement (Scaling) will be managed with very slow growth initially to ease the pressure on delivery teams.</li> </ul>	<p><b>Milestones / Mitigation Delivered:</b></p> <ul style="list-style-type: none"> <li>Indebtedness stakeholder workshop (30/08/19).</li> <li>Consent stakeholder workshop (20/09/19).</li> <li>Move to UC Evaluation Strategy approved at PDE (23/10/19).</li> <li>Stakeholder workshop - Improving Information for Third Parties (25/10/19).</li> <li>The 'Move to UC Evaluation Strategy to inform scaling was endorsed at Programme Board (12/11/19).</li> <li>The Pilot progress to date and high level plan for the next phase to be presented to Programme Board (12/11/19).</li> <li>MTUC Checkpoint (Harrrogate Pilot) – agree progression from 'Test the Concept' phase to 'Develop the Service phase' (14/11/19).</li> <li>UCAD monitoring Forecast Workload Volumes against UC actuals to understand why natural migration is less than expected – complete</li> <li>'Test the Concept' phase findings presented to PDG to agree to move to 'Develop the Service' phase (19/11/19).</li> </ul>	<p><b>Nov 20 - We expect this risk to reduce to Amber 8 (Impact 4, Likelihood 2)</b> - Once claimant behaviour is fully understood, design issues are resolved and migration (up to 10,000 claimants) has been achieved. In addition the Parliamentary Report is completed, the rollout approach has been agreed with Delivery Partners/Stakeholders and scaling has commenced.</p> <p><b>Nov 21 – We expect this risk to reduce to its target rating of Amber Green 4 (Impact 4, Likelihood 1)</b> – Once we are assured that Move to UC volumes are being delivered to the agreed rollout schedule, to quality standards and to the agreed timescales.</p>
<p><b>To Note:</b> Mitigation actions included here are for the period up to the approved/published Move to UC Evaluation Strategy. Additional mitigation actions for 2020 are included in the Risk Action Plan. For mitigation actions to address the scope cause, see Programme risk P71.</p>		

Risk Details	Expected Flight Path	Causes & Consequences
<p><b>Risk Owner:</b> Pauline Crellin  <b>P71 – UC Programme Scope and Delivery</b>                      The delivery of the agreed UC Programme scope is put at risk due to:</p> <ul style="list-style-type: none"> <li>Scope change from DWP Ministerial initiatives or wider Government demands e.g. future Budgets, EU Exit &amp; Spending Reviews.</li> <li>Reduced developer capacity due to IR35 process for assessing contingent labour.</li> <li>Re-prioritisation of the backlog reflecting changing priorities;</li> <li>Demands from external organisations to introduce changes or delay delivery of certain changes.</li> </ul> <p><b>Risk Raised –</b> Apr 18  <b>Current Risk Rating –</b> AR12 (Impact 4/ Likelihood 3)  <b>Target Risk Rating –</b> AG4 (Impact 4/ Likelihood 1)  <b>Target Date –</b> Nov 21  <b>Next Impact Date –</b> Jan 20</p>		<p><b>Causes:</b></p> <ul style="list-style-type: none"> <li>The Programme identifies scope changes/ improvements but is unable to deliver them quickly enough to satisfy stakeholders e.g. reduced Developer capacity related to the new IR35 process for assessing contingent labour.</li> <li>Pressure from external sources to deliver changes or fill gaps to the current UC design.</li> <li>DWP and other cross government changes to policy including obligations linked to exiting the EU, future Budget changes &amp; Spending Reviews, may result in unplanned design changes.</li> <li>Unable to maintain the pace of Move to UC rollout as set out in the scalability plan e.g. changes in the economic environment (slowdown)</li> <li>Outcomes of Judicial Reviews/Tribunal Decisions.</li> </ul> <p><b>Consequences:</b></p> <ul style="list-style-type: none"> <li>We may:                             <ul style="list-style-type: none"> <li>continue to add new features to the UC Backlog and need to keep the Product Development team in place longer than expected.</li> <li>not deliver operational efficiencies as planned.</li> <li>have to delay the start of 'Move to UC' at scale.</li> <li>not realise all of the benefits and savings agreed in the FBC.</li> <li>suffer significant reputational damage/continued serious stakeholder concern.</li> </ul> </li> <li>Layering changes without sufficient opportunity to consolidate delivery.</li> <li>Scope change and/or backlog reprioritisation i.e. 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.</li> </ul>
<p><b>Planned Milestones/ Mitigation:</b></p> <ul style="list-style-type: none"> <li>Impacting EU Exit on UC scope once the withdrawal agreement is known (starts Jan 20).</li> <li>Parliamentary approval in place to enable scaling from 10,000 cases (Nov 20).</li> <li>Scaling begins to schedule (Nov 20).</li> <li>Post-election briefing/discussions to identify any potential impacts on UC Scope (ongoing).</li> <li>Stakeholder Engagement to manage expectations and incoming requests (ongoing)</li> <li>Progress reporting to PDE on IR35 Impacts and P8 Backlog to enable effective decision making including contingency requirements (ongoing).</li> <li>Close alignment with the EU Exit Programme, to ensure, where appropriate, mitigations &amp; Change Requests correlate (ongoing).</li> <li>Move to UC Updates to PDE/PB regarding Evaluation/Scaling progress (ongoing).</li> <li>Service Performance Stocktake (monthly).</li> </ul> <p><b>To Note:</b> Governance of all external change requests are managed through the Change Impacting Group &amp; Senior Impacting Group</p>	<p><b>Milestones/ Mitigation Delivered:</b></p> <ul style="list-style-type: none"> <li>Service Performance Stocktake (26/09/19, 24/10/19, 19/11/19 &amp; 17/12/19).</li> <li>Move to UC (including SDP) Regulations in place for 'up to 10,000' cases to be migrated during the Pilot (Jul 19).</li> <li>UC impacting for SR19 completed (Aug 19).</li> <li>Regular progress reported to PDE on P7 Backlog which enabled effective decision making including contingency requirements.</li> <li>UC Impacting for Autumn Budget (Oct19).</li> <li>Senior Impacting Group meetings (04/12/19 &amp; 06/12/19).</li> <li>Updated ET re manifesto impacting (10/12/19).</li> <li>Met with External Stakeholders e.g. Cabinet Office to inform them of the outcomes of the manifesto impacting (10/12/19).</li> </ul>	<p><b>Nov 20 – We expect this risk to reduce to Amber 8 (Impact 4, Likelihood 2)</b> – Once we have delivered sufficient efficiencies to UC, we have completed testing of the Move to UC process and confirmed readiness to increase volumes.</p> <p><b>Nov 21 – We expect this risk to reduce to Amber Green 4 (Impact 4, Likelihood 1)</b> – As Move to UC is being delivered with increased volumes, all JSA Income based cases moved across to UC and commenced movement of all other legacy benefit claim at scale.</p>

### IR35 – Contractor Impact Update

UC Digital & Change Contractors - this does not include non AMS/PSR contracts (circa 25)	Total	Status	Total	Outcome	Total
Conversations in progress / completed	63	Agreement reached	15	Tax Centre of Excellence agree outside IR35 Rules	1
		On-going discussions	48	Moving to Inside role/contract	11
Conversations not started	85			Left Due to IR35	1
				Left for other reasons	2
				Moving to Permanent	0
				Moving to FTA	0

### Contracts due to expire by month

Month	Contracts
Jan-20	2
Feb-20	16
Mar-20	19
Apr-20	23
May-20	31
Jun-20	26
Jul-20	10

### Programme Overall Forecast 2019/2020 Summary

2014/15	2015/16	2016/17	2017/18	2018/19
Outturn £255m	Outturn £362m	Outturn £403m	Outturn £448m	Outturn £445m

Total Programme Spend	2019/20 Range Risks
£2,852m	£0.0m Opps (£3.6m)

	P7 Forecast	Current Forecast	Forecast Movement	Budget	Variance to Budget	2020/21 Forecast
Full Service Delivery	207,275	230,452	(23,177)	202,397	(28,055)	57,141
UC Product Development	70,290	68,521	1,768	74,375	5,854	68,055
Move to UC	8,794	8,754	40	9,339	585	12,379
UC Engagement	78,170	78,600	(430)	79,617	1,017	285,664
Rest of Programme	3,778	3,026	751	(7,526)	(10,552)	(39,244)
Total Financial Costs (Inflation)	0	0	0	0	0	1,455
<b>Total UC Programme</b>	<b>368,307</b>	<b>389,354</b>	<b>(21,047)</b>	<b>358,202</b>	<b>(31,152)</b>	<b>385,450</b>

### 2019/20 Key Points:

- This report shows the movement between P7 and P9, as no P8 report was issued, due to the timing of the P8 Board.
- Overall there is a £31.2m budget overspend. This is primarily broken down as follows:
  - UC Service Delivery overspend £28.2m
    - Primarily due to staffing pressures. This is expected to be offset by additional budget made available to support EU Exit.
  - UC Programme Controlled Expenditure £3.0m
    - The Programme overspend has decreased to £3m and there is also £3.6m of potential further reductions recorded in the Departments Risk and Opportunities register.

**2020/21** – There has been a £0.6m increase in the overall forecast, due to staffing changes.

### 2.67 Million Claimants at Nov 2019

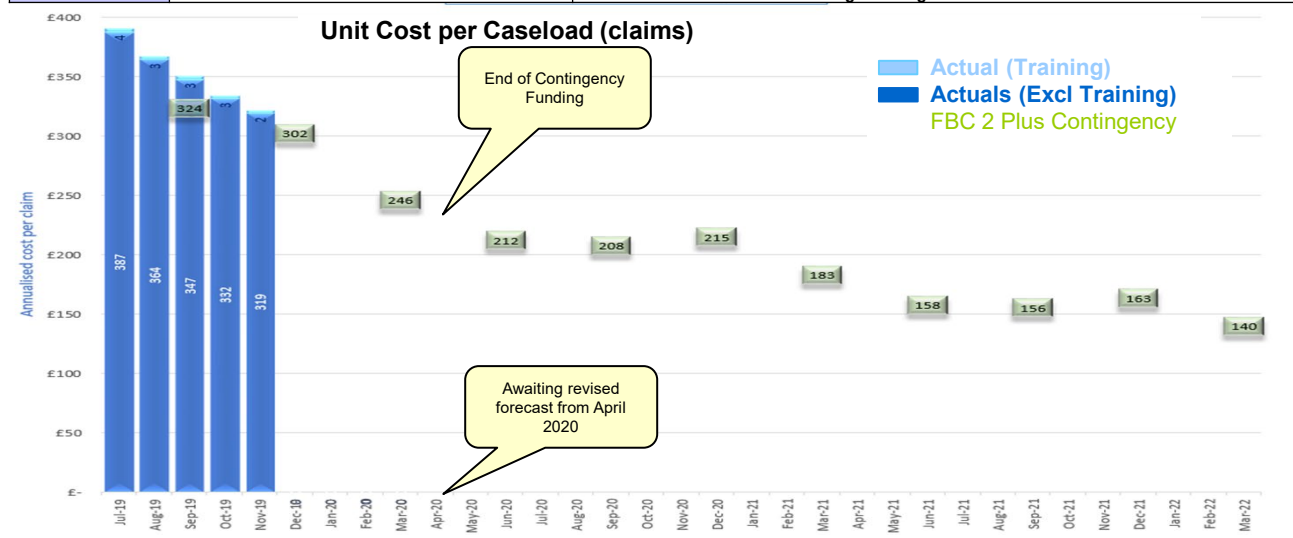
  

Next statistics released 21st January

### AME Expenditure

### Full Service Verify Performance

**Affordability** Service can be effectively delivered within agreed tolerance of funds • Unit Costs (forecast v actual) – post Autumn Budget Actual for November 2019 is £319 against target of £281



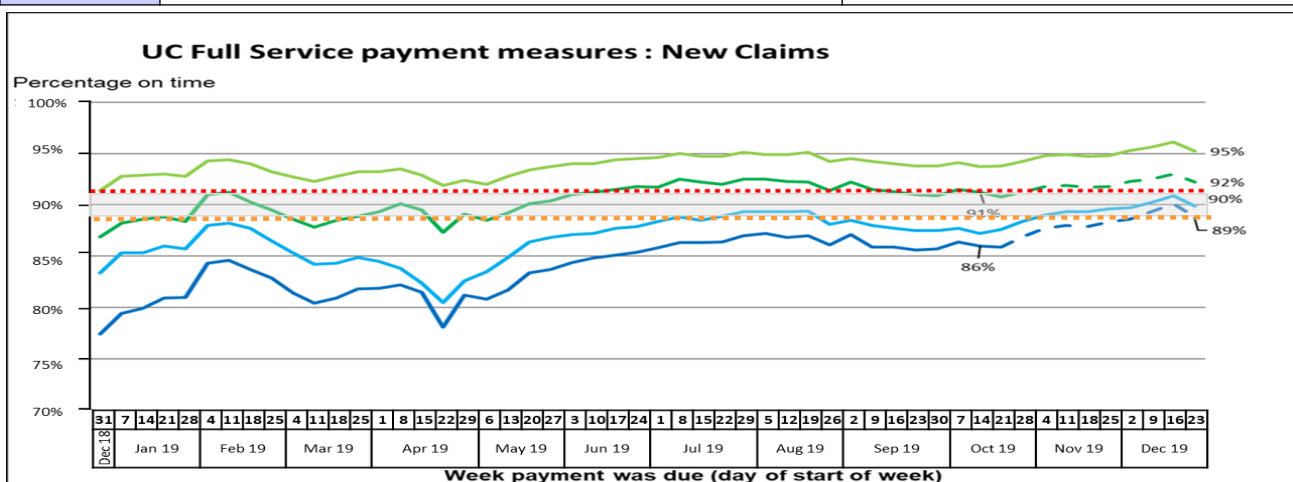
Caseload (Households) Forecast Volumes (Autumn 2019 Volumes)

Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19
2,016,734	2,099,418	2,185,913	2,272,820	2,355,649	2,434,594
Actual Caseload (Households)					
2,016,734	2,097,843	2,181,550	2,259,465	2,337,191	2,374,578

**Fraud & Error** We can identify and prevent Fraud & Error and manage risk effectively • Percentage Claimants paid accurately • Levels of MVFE

Measures	Trend Analysis												
	Dec '18	Jan '19	Feb '19	Mar '19	Apr '19	May '19	Jun '19	Jul '19	Aug '19	Sep '19	Oct '19	Nov '19	3 Month Average
<b>Payment Accuracy</b>	93%	92%	97%	94%	89%	89%	94%	91%	93%	94%	94%	94%	94%
<b>Caseload Growth Measure</b>													
<b>Levels of Monetary Value of Fraud &amp; Error (MVFE)</b>	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.												

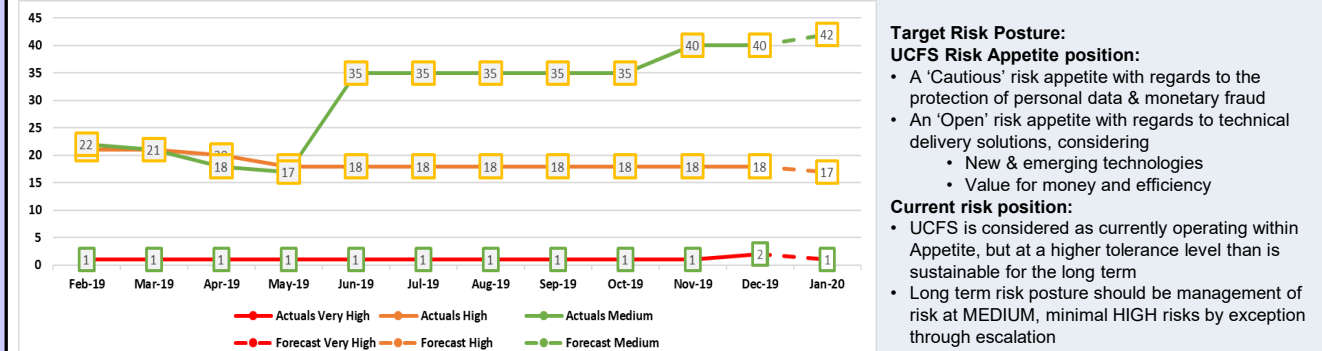
**End to End Service Maturity** An effective and efficient end to end service characterised by:- • Claimants being paid on time and who trust on line channels and can self-serve • Support delivered to claimants with additional needs which are addressed and a tailored service delivered to claimants with complex needs • % claimants paid on time in First Assessment Period – full and part payments



Legend for UC Full Service payment measures: Full payment on time (recalculated figure), Forecast of full payment on time (recalculated figure), Full payment on time (point in time measure), Some payment on time (recalculated figure), Forecast of some payment on time (recalculated figure), Some payment on time (point in time measure). Hypothetical optimum range of 89% to 91% is the optimum achievable without further investment to 'nudge' claimants.

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

**Risk Trend: Forecast and highlights**  
December 2019 has seen Secure Design review 6 security risks and 8 Fraud risk with the introduction of 1 VERY HIGH 16 Risk due to a critical vulnerability in the use of Virtual Box Software which allows a user to bypass the security controls on the UC Dev MacBook estate and compromise production personal data. SDS are working with ESRM on the controls to be put in place to reduce this risk, it is expected this will be reduced to High/Medium in Jan 2020. 1 New Medium Risk has been introduced during the development of KAFKA to replace Active MQ as a queueing service. Tests show that equality data, which is classed as special category data under GDPR, is being passed to Data Works Crown Hosting in the clear. Work will hopefully commence in P9 to encrypt this data. The Dataworks AWS development continues to affect the reduction in high risks, however this work remains on track for completion in Feb 2020 - if this is realised the associated high risks will be reduced or closed. Further RBAC roll-out continues across Decision Makers, Work Coaches, Case Managers and Fraud Investigators, implementation of these roles is forecasted for completion by end of March 2020 and will see the risk to drop to High.



**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

	Feb-19	Mar-19	Apr-19	May-19	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20
Actuals Very High	1	1	1	1	1	1	1	1	1	1	2	
Actuals High	21	21	20	18	18	18	18	18	18	18	18	18
Actuals Medium	22	21	18	17	35	35	35	35	35	40	40	
Forecast Very High											2	1
Forecast High											18	17
Forecast Medium											40	42

**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 moved into early 2020 due to the lack of engagement with CyberArk. Digital are now discussing how best to work with CyberArk to meet UC's Privileged Access Management (PAM) needs.  
• 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:  
• Work Coach, Case Manager, SIL (~21,000 agents): analysis and research in progress. A 4 Stage Plan has been created and stage 1 takes place on 7 Jan 2020  
• Work Coaches and Case Managers trial roll out began 8 Jan 2020 where one team in Bolton and one team in Bexleyheath will be newly assigned as Work coaches and Case Managers. This is to ensure that small teams can continue to function as work coaches and case managers whilst mitigating the impact rolling out to an entire site might have in the event something has been overlooked.  
• SILs stories will be written during the 2nd week of Jan 2020, to confirm whether or not they will have a similar profile to work coaches (which we suspect they will). If they do then we can create a SIL profile.  
• 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 – New resources have been allocated and work has commenced. Final functional testing is in place with new roll out design to be presented a TDAWG. Deployment expected to start by end Q1 2020.

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

December 2019	Service Hours Available	Service Hours Lost - UCFS	Service Hours Lost – DWP Network & Desktop	Total Service Hours Lost	Service Hours Lost as %
	3,714,032	0	0	0	0%

