

Programme Summary

Move to UC:
 The Move to UC Pilot continues in Harrogate with a number of the first cohort of claimants now completed all stages and in receipt of UC, with warm-up conversations commenced with the second cohort of claimants. A lot has already been learnt, with changes to the migration notice and award notice along with design refinements made in response. The challenge to Move to UC Regulations was not debated within the time limit allowed, securing the regulations and confirming we have approval to proceed with up to 10,000 migrations. The Move to UC Evaluation Strategy was reviewed at PDE on 23 October ahead of being shared with Programme Board in November with work underway to identify key external stakeholders to engage and share the strategy ahead of publication. Discussions continue with identified partners and HMRC colleagues to develop the respective Partner and HMRC led approaches with update, along with a pilot progress update, also scheduled for November Programme Board.

Universal Credit - Consolidation:

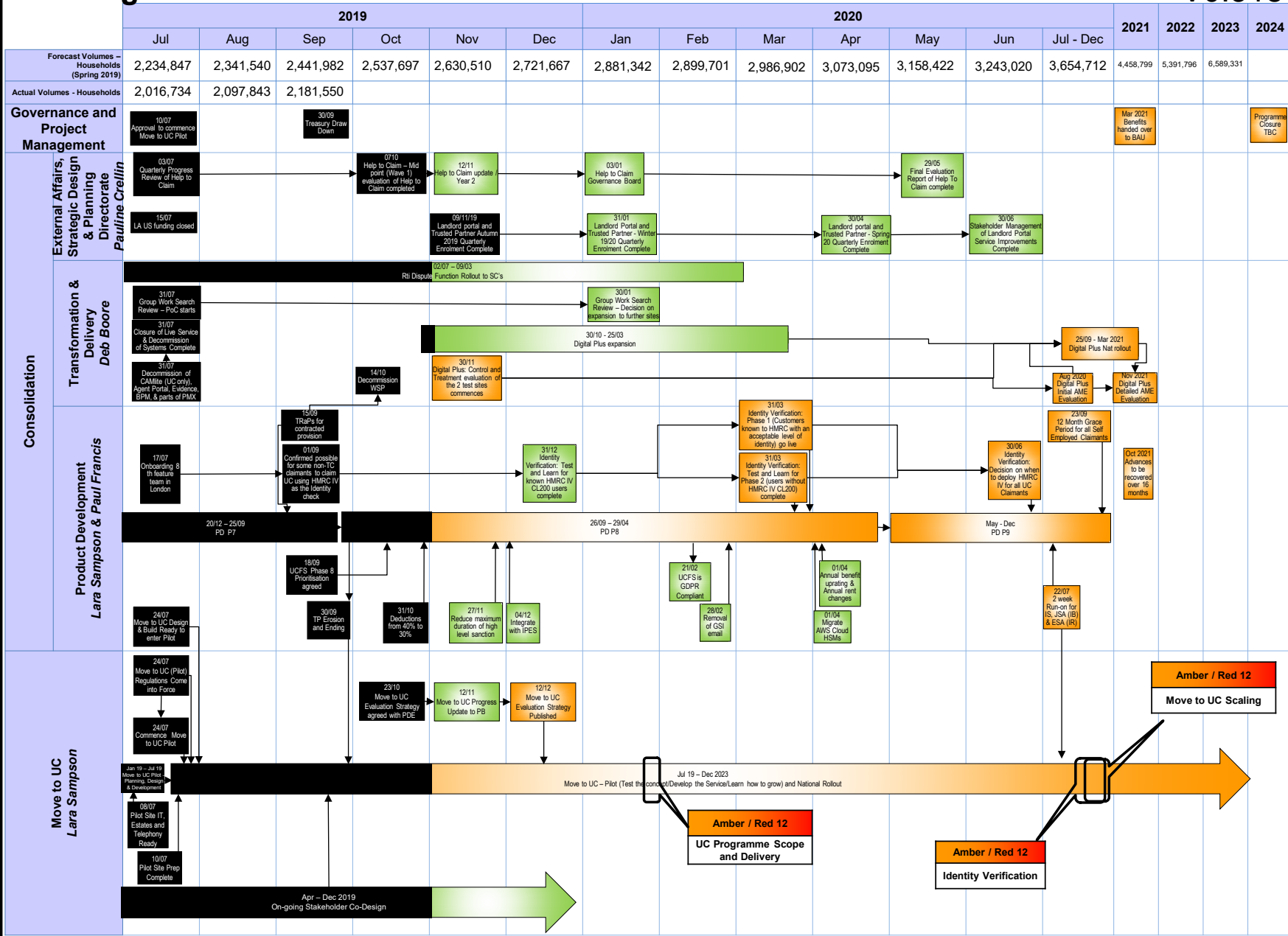
UC Full Service Product Development Phase 8 Outcomes

Programme Level Milestones	Date	RAG
Deductions from 40% to 30%	31/10/19	Completed
Reduce maximum duration of high level sanction	27/11/19	Phase 8
ID Verification - Dynamic Trust Platform MVP for UC developed ready for testing		Phase 8
Integrate with Intensive Personalised Employment Support (IPES)	04/12/19	Phase 8
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

V0.318



Critical / Key Milestones - Consolidation

External Affairs, Strategic Design and Planning		
NAO UC Advances Study Complete		31/10/19
UC Programme Plan (2020-23)		17/12/19
Landlord portal and Trusted Partner - Winter 19/20 Quarterly Enrolment Complete		31/01/20
Help to Claim Review Complete		29/05/20
Transformation & Delivery, Including Labour Market		
Digital Plus Trial Expansion Phase commences		30/10/19
Digital Plus Trial control and treatment evaluation of 2 test sites go live		30/11/19
Digital Plus Trial Expansion Phase Wave 2 - Go live in 20 sites		18/12/19
Group Work Search Review - Decision on Expansion		30/01/20
Digital Plus Trial Expansion Phase completes		25/03/20
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

Deductions from 40% to 30%		31/10/19
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 Evaluation Strategy agreed with PDE		23/10/19
Move to UC Pilot Update / Strategy to Programme Board		12/11/19
Move to UC Evaluation Strategy Published		12/12/19

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. 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 UCFS 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>Planned Milestones / Mitigation:</p> <ul style="list-style-type: none"> Delivery Assurance Ceremony fortnightly calls to track progress and remove blockers (ongoing). Clarify and confirm Verify funding position for 2020/21 (Nov 19). Undertake a test and learn in a job centre with real users/data + technical interactions between ID&T, HMRC and Findr/Matching service in a staging environment for: <ul style="list-style-type: none"> Customers known to HMRC IV CL200 (cohort 1 & 2) – complete (31/12/19). Customers not known to HMRC IV CL 200 (cohorts 3&4) - complete (31/03/20). Progress update on HMRC IV testing and commercial activity & Deployment to Programme Board (Jan 20). Public Beta go live for customers known to HMRC (cohorts 1 & 2) (31/03/20). Deployment decision point for Phase 2 - HMRC IV for all UC claimants (cohorts 3 & 4) (30/06/20). Close monitoring via regular tripartite progress meeting between ID&T, HMRC and UCFS (ongoing). Following implementation the solution will be monitored and assured via papers, presentations and updates to PDG/PDE. 	<p>Milestones / Mitigation Delivered:</p> <ul style="list-style-type: none"> An MOU between ID&T and HMRC has been submitted for a 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. 	<p>Risk Reduced (Apr 20 - We expect this risk to be reduced to Amber 8 (Impact 4 Likelihood 2) – 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>Risk Mitigated (Oct 20 - We expect this risk to be mitigated to Amber/Green 4 (Impact 4 Likelihood 1) – Once we are assured that the IDV solution is fully embedded and is delivering effective affordable Identity Verification to the agreed % levels.</p>

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: • 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. 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"> There may be a requirement for a longer Pilot phase than 15 months if unforeseen issues arise and we may be unable to resolve these by the end of the phase. 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 reprioritisation, 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 Pilot phase into scaling and sustain the roll out of UC.
<p>Planned Milestones/ Mitigation:</p> <ul style="list-style-type: none"> Develop/Define the 'Move to UC Evaluation Strategy to inform scaling, which will be: <ul style="list-style-type: none"> endorsed at Programme Board (12/11/19); Workshop with external stakeholders (by 22/11/19); and published externally (date TBC). The Pilot progress to date and high level plan for the next phase to be presented to Programme Board (Nov 19). 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). Review and maintain the Stakeholder/Partner engagement plan: <ul style="list-style-type: none"> MtUC Checkpoint (Harrogate Pilot) – agree progression from 'Test the Concept' phase to 'Develop the Service phase' (Nov 19 TBC). 'Test the Concept' phase findings presented to PDE to agree to move to 'Develop the Service' phase (Nov 19 TBC). National level stakeholder event (Dec 19 TBC) Stakeholder workshop - Nov 20 (Subject/date TBC) Targeted communications as we move from Pilot to Scaling (on-going). UCAD monitoring Forecast Workload Volumes against UC actuals to understand why natural migration is less than expected (ongoing). Consolidation delivery through 2019/20 to ensure performance is sustained on the UC Full Service as claimant volumes increase through a combination of natural and managed migration (ongoing). 'Move to UC' commencement (Scaling) will be managed with very slow growth initially to ease the pressure on delivery teams. 	<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). 	<p>Risk Reduced (Nov 20 - We expect this risk to reduce to Amber 8 (Impact 4, Likelihood 2) - 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>Risk Mitigated (Nov 21 - We expect this risk to reduce to its target rating of Amber Green 4 (Impact 4, Likelihood 1) - 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>

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: • 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. 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 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 UCFS 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 UCFS 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>Planned Milestones/ Mitigation:</p> <ul style="list-style-type: none"> Service Performance Stocktake (monthly). Impacting EU Exit on UC scope once the withdrawal agreement is known (Jan 20). Parliamentary approval in place to enable scaling from 10,000 cases (Nov 20). Scaling begins to schedule (Nov 20). Ongoing Stakeholder Engagement to manage expectations and incoming requests (Ongoing). Regular progress reporting to PDE on P8 Backlog to enable effective decision making including contingency requirements (on-going). Close alignment with the EU Exit Programme, to ensure, where appropriate, mitigations & Change Requests correlate (Ongoing). Move to UC Updates to PDE / Programme Board regarding Evaluation/ Scaling progress (ongoing). <p>To Note: Governance of all external change impacts are managed through the Change Impacting Group & Senior Impacting Group</p>	<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). 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). 	<p>Risk Reduced (Nov 20 - We expect this risk to reduce to Amber 8 (Impact 4, Likelihood 2) - Once we have delivered sufficient efficiencies to UCFS, we have completed testing of the Move to UC process and confirmed readiness to increase volumes.</p> <p>Risk Mitigated (Nov 21 - We expect this risk to reduce to Amber Green 4 (Impact 4, Likelihood 1), the final Target date - As Move to UC is being delivered with increased volumes, all JSA Income based cases moved across to UCFS and commenced movement of all other legacy benefit claim at scale.</p>

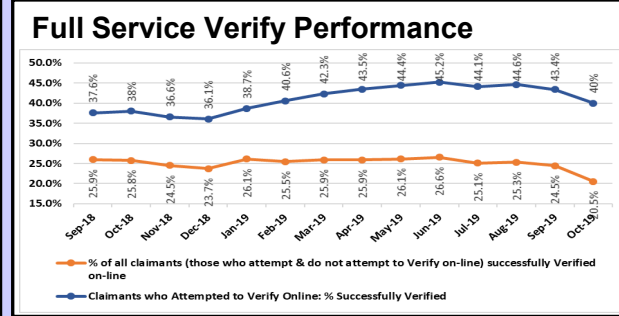
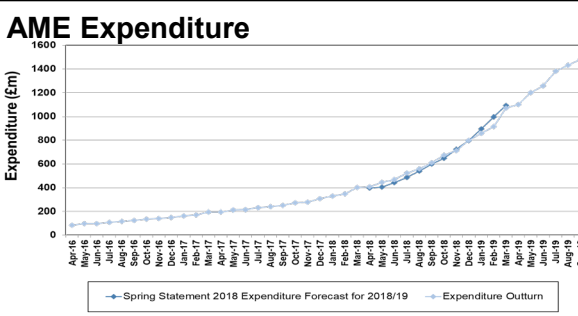
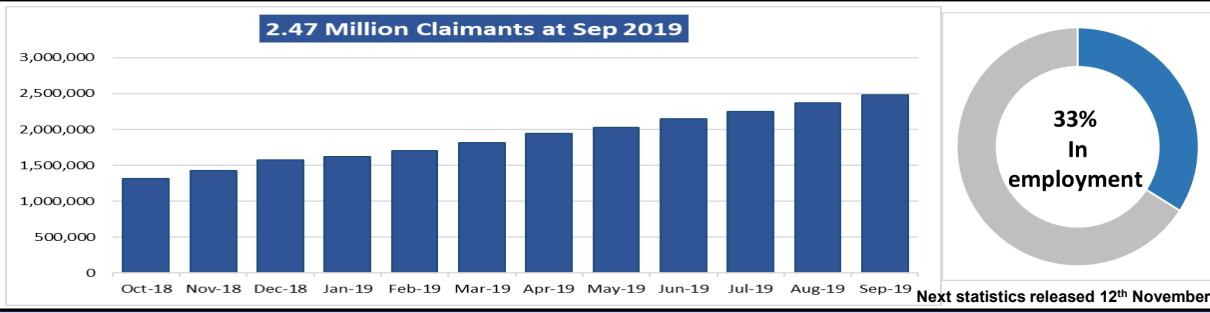
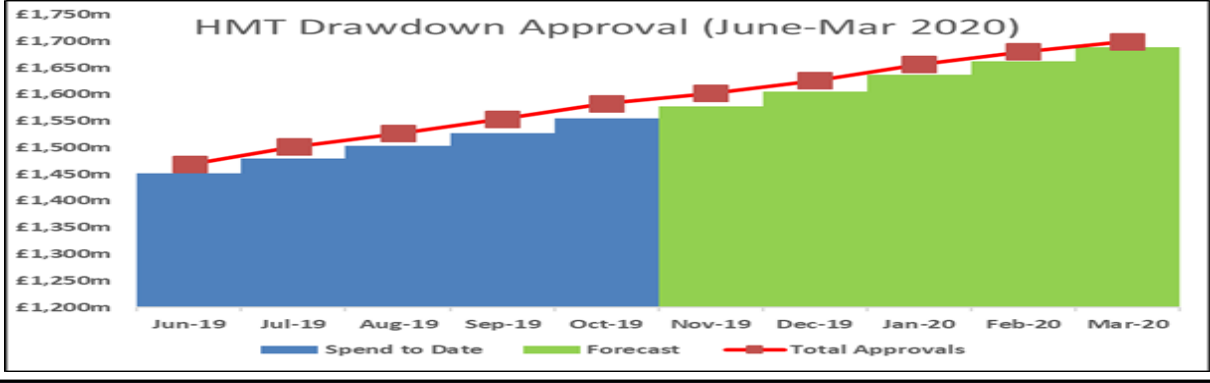
Programme Overall Forecast 2019 / 2020 – P3

	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

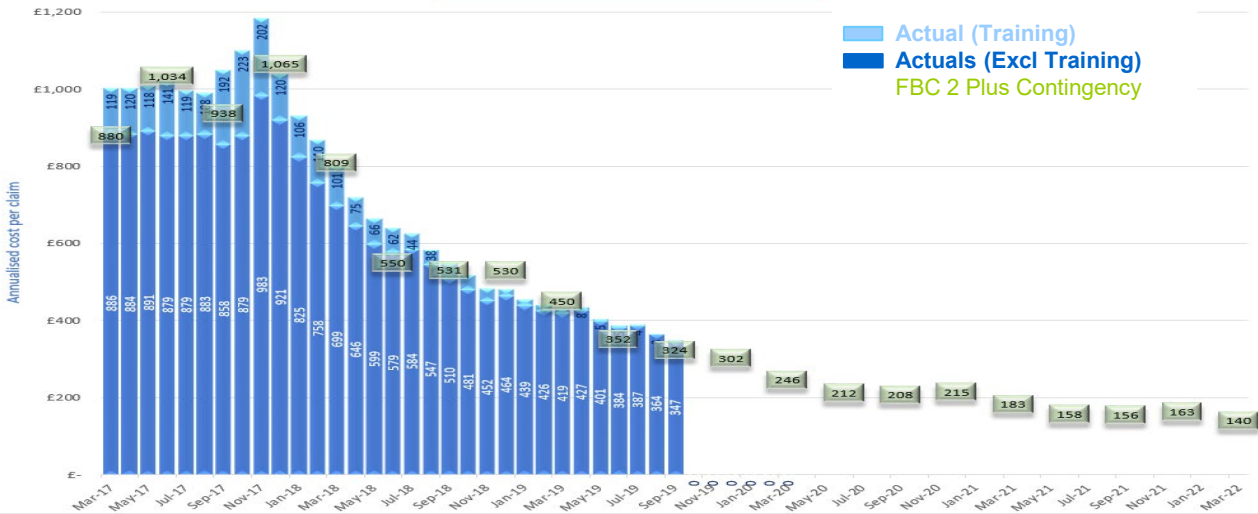
- 2019/20 Key Points:-**
- In P7, the forecast reduced by £2.3m. Mainly due to £1.7m in lower Product Development staffing and IT costs, and £0.4m in UC Engagement, as a result of lower Child Maintenance charges and Programme staffing costs.
 - There has been no budget change.
 - The forecast is £16.0m 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 September 2019 is £347 against target of £324

Full Service Unit Cost £'s per Claim



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		

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

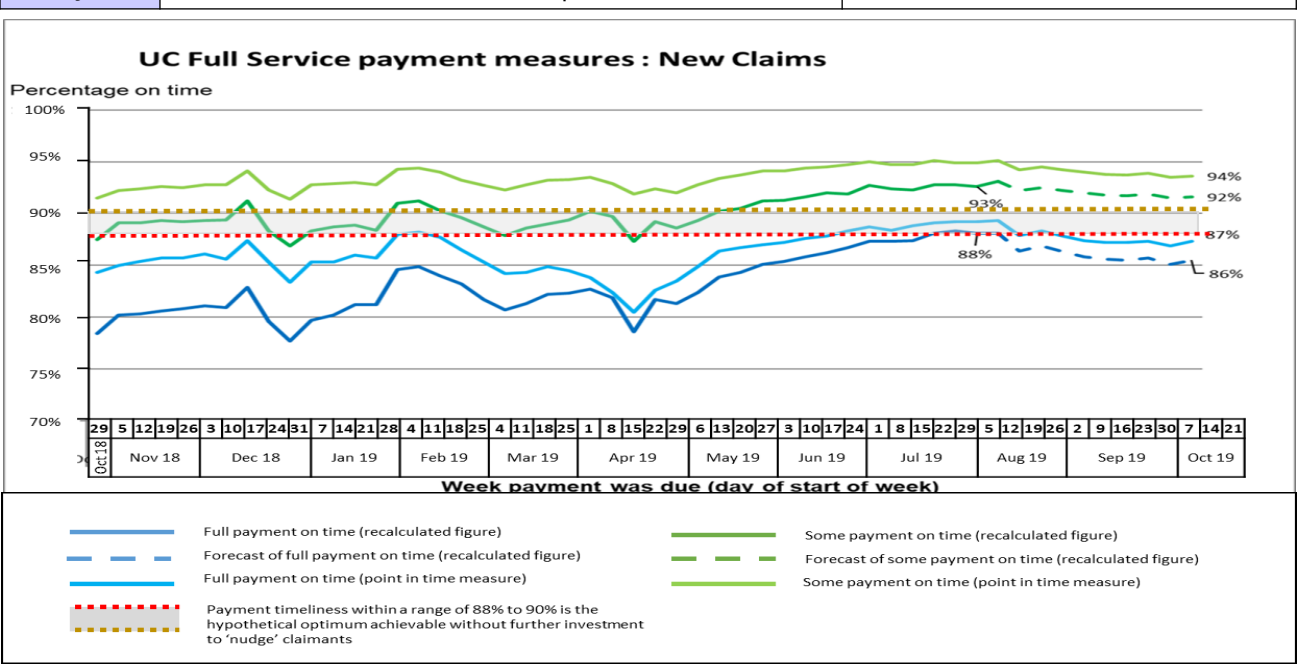
- Percentage Claimants paid accurately
- Levels of MVFE

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	3 Month Average
Payment Accuracy	96%	93%	92%	97%	94%	89%	89%	94%	91%	93%	94%	93%
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

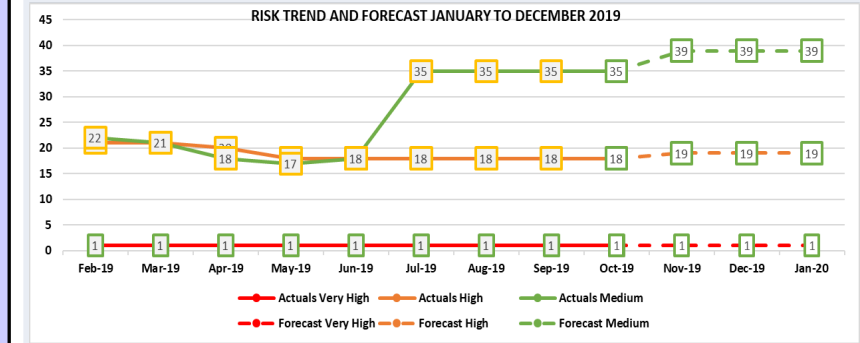
- % claimants paid on time in First Assessment Period – full and part payments



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

Risk Trend: Forecast and highlights

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. 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. 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. 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

	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			
Actuals High	21	21	20	18	18	18	18	18	18			
Actuals Medium	22	21	18	17	18	35	35	35	35			
Forecast Very High									1	1	1	1
Forecast High									18	19	19	19
Forecast Medium									35	39	39	39

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): **currently testing with 50 agents. Expecting to roll out to the remaining agents in the next week**
 - 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

