

To: UC Programme Board Members **From:** Will Garner / Stuart Ison
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Paper Title: Entry Criteria into Scaling Universal Credit Managed Migration

Background

1. The Programme was asked to provide an outline of the Entry Criteria for the scaling phase of Managed Migration. The criteria provide ‘the predefined set of conditions that need to exist prior to initiating a specific task or process’.
2. The criteria will change and iterate as we learn more through the Discovery Phase. This is inevitable for a Programme of the scale and magnitude of UC Managed Migration as we learn lessons through the Discovery Phase in how the service operates and delivers against our planned outcomes.

Monitoring and Control Framework

3. The criteria provide the basis for the monitoring and control framework that will be employed through the Discovery phase to monitor progress, identify issues, and will wherever necessary drive interventions on areas that may be falling out of tolerance. The criteria are for the most part outcome based around the core elements of the service that are a prerequisite for moving claimants from legacy benefits into UC as follows:
 - Identifying people to move including those where it may not be the right time to move yet;
 - Contacting people and issuing a migration notice;
 - People successfully making a claim before their deadline date;
 - The UC award is paid in full and on time for people that have moved; and
 - The necessary support is available to meet people’s needs.
4. In addition to the service delivery outcomes the criteria incorporate the broader operational and stakeholder views to ensure a complete picture of service and the preparedness of DWP to operate the service including service stability, capacity, capability, affordability and security assessments.
5. Monitoring progress against these criteria will support the board’s understanding and scrutiny of progress. We will:
 - **Track progress at least monthly** – we will be updating the plan monthly and tracking delivery progress against the criteria and all key milestones within the plan, monitoring changes to assumptions and any emerging risks. We are tracking key performance data to understand whether we are where we expected to be;

- **Embed the Plan and Criteria within UC Governance** – we have ensured that the Plan and Criteria are embedded into UC Governance Boards with Progress and status reports established to inform decision making;
- **Further develop our reporting products** – we have developed a single dashboard that brings together all key deliverables, risks, financial reporting and performance metrics to monitor progress. We will enhance the reporting to ensure entry criteria status is included;
- **Monitor Risks** – working with Risk Management Division to map underlying delivery risks to ensure we have the appropriate mitigations in place

The full entry criteria are appended to this paper for your information

Summary

6. In summary we are asking the Programme Board to:

- Agree the entry criteria for the UC Managed Migration Scaling Phase

Appendix

Move to UC programme monitoring

Discovery Ethos

The focus of the discovery with controlled volumes phase is to learn how to successfully move people to UC. Although we refer to this process as ‘managed migration’, each successful move requires an individual to make a claim. Whilst we have the legislative framework to mandate people to move, we do not know whether this alone will be enough to compel people to move, what additional support we need to provide to help people make a successful claim to UC, and what impact the process of moving to UC may have on people’s circumstances.

Unlike typical digital Discovery phases, this phase will involve operating a live Move to UC service with legacy claimants responding to a Migration Notice. Our approach to discovery will be to test different aspects of the service with a wide variety of legacy claimants to give us depth and breadth of learning as rapidly as possible. Our goal is to learn what the service will need to look like in order to move people to UC safely and at scale. We will learn this by starting with the simplest end-to-end service in place and moving some people to UC. Through this approach we will learn what works, what doesn’t work and what we need in place to move more people.

Specifically we will focus on learning:

- What will motivate people to move and to what degree will different groups of claimants need support in order to successfully make their claim and safely move to UC.
- How successful we can be at identifying different groups of people to move to UC, and how accurately we can calculate and pay their award including the transitional element.
- What we would need to have in place in order to safely scale our ability to identify people, deliver support and calculate and pay the UC award including the transitional element.

In order to get the breadth of learning required to understand and complete Move, through Discovery we will not select claimants through benefit type, but will aim to encounter as many different circumstances as possible – starting initially in select areas and widening out as we stand to learn more.

This learning will inform the shape and direction of the scaling phase. The entry criteria below are designed to enable the UC Programme Board and others to understand progress against these learning objectives and to review and take decisions around our readiness to enter a scaling phase.

Draft Entry Criteria to commence scaling

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
1. End to end service maturity	We can confidently and safely operate an end to end service to migrate legacy claimants to UC	<ul style="list-style-type: none"> We have learnt how we can correctly identify people to move and are ready to do this at increasing scale. 	<ul style="list-style-type: none"> We have learnt how we can identify the people to move to UC and are ready to prove that we can do this at increasing scale, ensuring we have the right data and processes to do this. The mechanisms and processes by which we will identify claimants to move (or not to move at a given time) are sufficiently scalable for the anticipated volumes at the beginning of the scaling Phase. Criteria for postponements or exclusions are agreed 	<ul style="list-style-type: none">
		<ul style="list-style-type: none"> Claimants who trust online channels can self-serve to make their claim on time 	<ul style="list-style-type: none"> We understand and can monitor response rates to migration notices We have processes for handling failed contact and where migration notices are not delivered, or have not been received. 	<ul style="list-style-type: none">

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
			<ul style="list-style-type: none"> We can identify and support those who require additional help to make their claim and throughout their UC journey 	
		<ul style="list-style-type: none"> Claimants being paid the right amount on time 	<ul style="list-style-type: none"> We are able to calculate the award correctly for all legacy claimants Quality checking processes are in place and we are able to calculate the Transitional Element to a known level of quality 	<ul style="list-style-type: none">
		<ul style="list-style-type: none"> Operational capability in place 	<ul style="list-style-type: none"> We have staff in the right locations trained and confident to deliver the service We have support functions in place for staff to raise issues where they arise and mechanisms to address them 	<ul style="list-style-type: none">
		<ul style="list-style-type: none"> Processes in place to terminate legacy benefits when appropriate 	<ul style="list-style-type: none"> We can terminate legacy benefits when claims are made to UC We have processes in place and the ability to extend and cancel migration notices where required. We have controls, processes and the ability to terminate legacy benefits when claims are not made by the deadline date, where appropriate. We have a process for backdating claims and providing transitional protection where eligible 	<ul style="list-style-type: none">

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
2. Stability	We can be assured that the existing live service can continue to operate satisfactorily at increased volumes as we test and iterate the MtUC service design at increased volumes.	<ul style="list-style-type: none"> The existing UC service is able to withstand the increased demand that the Scaling Phase will bring. 	<ul style="list-style-type: none"> Existing UC service is able to withstand the anticipated increased volumes (adequate delivery capacity/resources and IT resilience) and maintain acceptable service levels incl. <ul style="list-style-type: none"> Payment Timeliness Payment Accuracy Monitoring of the UC service against key metrics and measures is in place to ensure that we can reduce or slow Migration should service levels begin to deteriorate (either through actions taken in Move to UC or as a result of changes in the wider operational environment). We have command and control arrangements in place to support the increasing scale of Move to UC enabling the Programme to respond effectively to any impacts on the UC Service. UC has adequate product support in place as we increase demand on the service through increasing Migration volumes. System level monitoring remains in place and any recent outages and number of O/S incidents or defects are understood to inform scaling decisions. 	<ul style="list-style-type: none">

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
		<ul style="list-style-type: none"> The Move to UC service design and associated products can withstand the increased demand as we increase claimant volumes. 	<ul style="list-style-type: none"> As we enter the Scaling Phase the Move to UC service design and associated products will be able to withstand the anticipated increase in claimant volumes. The team has the required resources and capabilities to continue to iterate the service design and associated products based on learning that will be gained throughout the Scaling Phase. We have the required staff in place (Day 1 Scaling) with a plan for the identification and readying of increasing numbers of staff as our volumes grow. 	<ul style="list-style-type: none">
3. Legacy & People	We understand the impacts undertaking Move to UC at scale through to completion will have on UC Service Delivery, Legacy Service Lines and Delivery Partners.	<ul style="list-style-type: none"> We have consulted with UC Service Delivery and Legacy Service Lines and understand the impacts our anticipated scaling will have on them and their people. 	<ul style="list-style-type: none"> Both UC Service delivery and Legacy service lines have been consulted and the impacts of the continued increase in migration volumes are understood/prepared for (including any impacts on network and infrastructure such as face to face capacity in Job Centres). Appropriate communications are developed and ready to be employed to support the expansion of testing with increased claimant volumes. Leadership products and support are in place to support the increase in claimant volumes. The early guidance and Universal Learning developed during the Discovery Phase are ready as we begin to increase volumes and we are prepared to iterate these as we continue. 	<ul style="list-style-type: none">

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
			<ul style="list-style-type: none"> Any required Risk Assessment and Equality Impacts Assessments have been reviewed to ensure that these remain appropriate as we increase scale. 	•
			<ul style="list-style-type: none"> We can harness the learning from customer experience of moving to UC, serving as an additional feedback loop into the service design to support continuous improvement and backlog prioritisation. 	•
			<ul style="list-style-type: none"> We can harness staff and stakeholder feedback to support continuous improvement and backlog prioritisation 	
			<ul style="list-style-type: none"> We know what work is needed within a given area to create good conditions for success. 	•
		<ul style="list-style-type: none"> Debt Management has the capacity to handle increases in demand that the Scaling Phase may create. 	<ul style="list-style-type: none"> Debt Management has confirmed they have the capacity (or plans in place to increase capacity) to support any further demand that the Scaling Phase may create. 	•
		<ul style="list-style-type: none"> We have consulted with Delivery Partners and stakeholders and understand the impacts our anticipated scaling will have on them and their people. 	<ul style="list-style-type: none"> Our delivery partners have confirmed they are ready and able to discharge any duties they may have at increasing scale. 	•
			<ul style="list-style-type: none"> Appropriate communications are developed and ready to be employed to support the expansion of testing with increased claimant volumes. 	•
			<ul style="list-style-type: none"> There are appropriate external stakeholder and delivery partner engagement and management arrangements in place to support the continued expansion of testing in the scaling phase. 	•

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
			<ul style="list-style-type: none"> We know what work is needed with local partners in a given location to create good conditions for success. 	<ul style="list-style-type: none">
		<ul style="list-style-type: none"> We have consulted with DTUS and have steps in place to respond to the concerns they may have. 	<ul style="list-style-type: none"> DTUS - engagement plan is in place and all outstanding actions have been discharged. 	<ul style="list-style-type: none">
4. Secure	The processes developed to Move Claimants are sufficiently secure as we increase volumes.	<ul style="list-style-type: none"> Move to UC service design, products and processes and the wider UC service will remain secure in line with Departmental Security Policies as we increase volume. 	<ul style="list-style-type: none"> The service design and associated products, as well as the UC service will remain secure in line with Departmental Security Policies as we increase volume We have reviewed service designs, processes and supporting products to ensure we remain compliant with GDPR/UK Data Protection Act regulations. We are able to monitor/evaluate the instances of F&E on migrated claims as we increase volume to understand the reasons for this (e.g if it is higher than the UC baseline). Any required cyber security measures are in place to protect the service and mitigate the impact of external attacks (DN – may not be required as maybe no new claimant facing on-line service design elements outside of existing live service – Discovery will tell us this) 	<ul style="list-style-type: none">
5. Affordable	The processes and service components developed are considered affordable at increasing volumes	<ul style="list-style-type: none"> We are ready to test the affordability of the Move to UC service design at increasing scale. 	<ul style="list-style-type: none"> We have learnt which elements of the Move to UC service design are not affordable at increasing scale and these are in the scaling phase development backlog to be addressed. 	<ul style="list-style-type: none">

Test Theme	Outcome	Readiness Criteria	Assessment Criteria/Measures/Evidence	Status
			<ul style="list-style-type: none"> We have monitoring and an evaluation plan in place to assess affordability as we increase claimant volumes, enabling us to identify the key cost burners including consequential impacts on the existing UC service. We are able to monitor/measure unit costs per transaction/migration. 	<ul style="list-style-type: none">
		<ul style="list-style-type: none"> We will be able establish the resources needed to complete Move to UC by the end of the scaling Phase 	<ul style="list-style-type: none"> We have an evaluation plan ready to employ to establish the costs of moving claimants together with any impacts on wider UC service unit costs. The required funding draw down is available to the programme. 	<ul style="list-style-type: none">