

# UC Programme Risks

## Programme Board Paper Annexes

UCPB1503 – Paper 2 Annex

15<sup>th</sup> March 2022

OFFICIAL SENSITIVE

# Annex 1: Summary Table of Top 5 Risks

## Summary Table: Top UC Risks

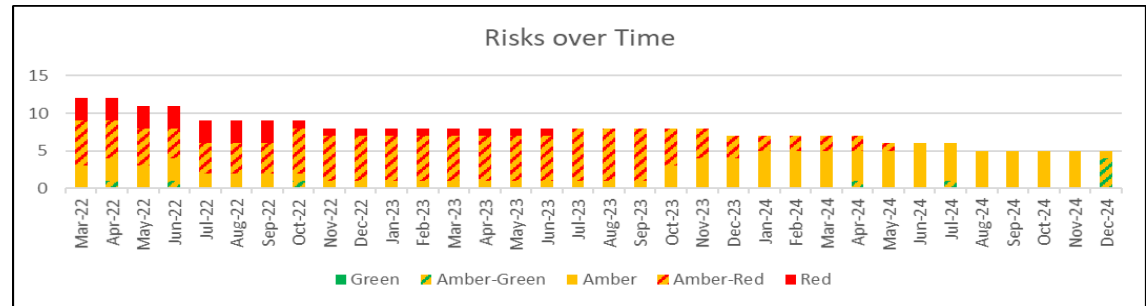
Risk	Programme /Strand & Risk Owner	Current Rating (L x I)	Target Rating (L x I)	Impact Date	RAG Status Jan 22	RAG Status Feb 22	RAG Status Mar 22
<p><b>P86 Move to UC – UC Programme completion by December 2024</b> Compressed timescales with no capacity for planned firebreaks or contingencies, coupled with a lack of internal and external stakeholder alignment to the plan, may mean completing migration of all Legacy claimants and completing the UC Programme by the end of 2024 is unachievable.</p>	<p>Stakeholder Engagement; and Strategic Briefing</p> <p>Stuart Ison</p>	R16 (I4 x L4)	AG4 (I4 x L1)	Jul 24			
<p><b>P87 UC Java Developer Recruitment &amp; Retention</b> The highly competitive market for skilled software engineers puts DWP at a disadvantage, due to the Civil Service pay framework constraints for permanent recruitment and other Cabinet Office controls, which also affects how we can engage with commercial suppliers. The inability to compete in this rapidly changing market could mean that we are no longer able to change or maintain the UC digital service, including the migration of legacy claimants through Move to UC.</p>	<p>Digital</p> <p>Paul Francis</p>	AR12 (I4 x L3)	AG4 (I4 x L1)	Jan 25			
<p><b>P83 Move to UC – Voluntary Phase (Phase 1)</b> Legacy claimants may not be motivated to move to UC voluntarily leading to higher volumes than forecast for transition by the end of 2024.</p>	<p>Stakeholder Engagement; and Strategic Briefing</p> <p>Stuart Ison</p>	R16 (I4 x L4)	AG4 (I4 x L1)	Apr 24			
<p><b>P84 Move to UC – Discovery (with Controlled Volumes) &amp; Scaling Phases (Phases 2 &amp; 3)</b> Unexpected Departmental/Ministerial priority changes, Operations readiness or inability to manage the required volume of claims may impact the Programme's ability to begin and sustain the Discovery and Scaling Phases of Move to UC.</p>	<p>Move to UC</p> <p>Will Garner</p>	R16 (I4 x L4)	A8 (I4 x L2)	Jan 24			
<p><b>P85 Fraud and Error Benefits Realisation</b> Without the successful completion of the MVFE reduction plan and Move to UC by the end 2024 the levels of MVFE and the corresponding benefits stated in the UC FBC including MVFE savings by 2026/2027 will not be achieved</p>	<p>Move to UC</p> <p>Will Garner</p>	AR12 (I3 x L4)	AG3 (I3 x L1)	Apr 27			

# Summary Position of Programme Risks at March 2022

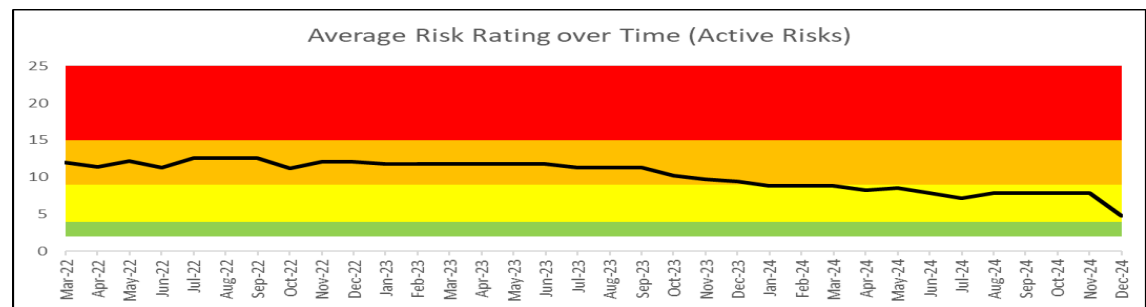
The majority of the Programme’s Risks are rated Red or Amber-Red, which is consistent with these being top-rated risks reported to PB and PDE.

Likelihood	5	0	0	0	0	0
	4	0	0	1	3	0
	3	0	0	2	5	0
	2	0	0	0	1	0
	1	0	0	0	0	0
		1	2	3	4	5
		Impact				

An aggregate flightpath has been generated by counting the number of active risks in each RAG rating category on a month-by-month basis. This shows that the level of risk drops steadily over time and is as low as possible by the end of the programme in Dec 24.



A similar calculation of the average rating shows that the average level of risk decreases somewhat over time – although reductions as risks are mitigated are offset by the decreasing number of risks in the assessment.



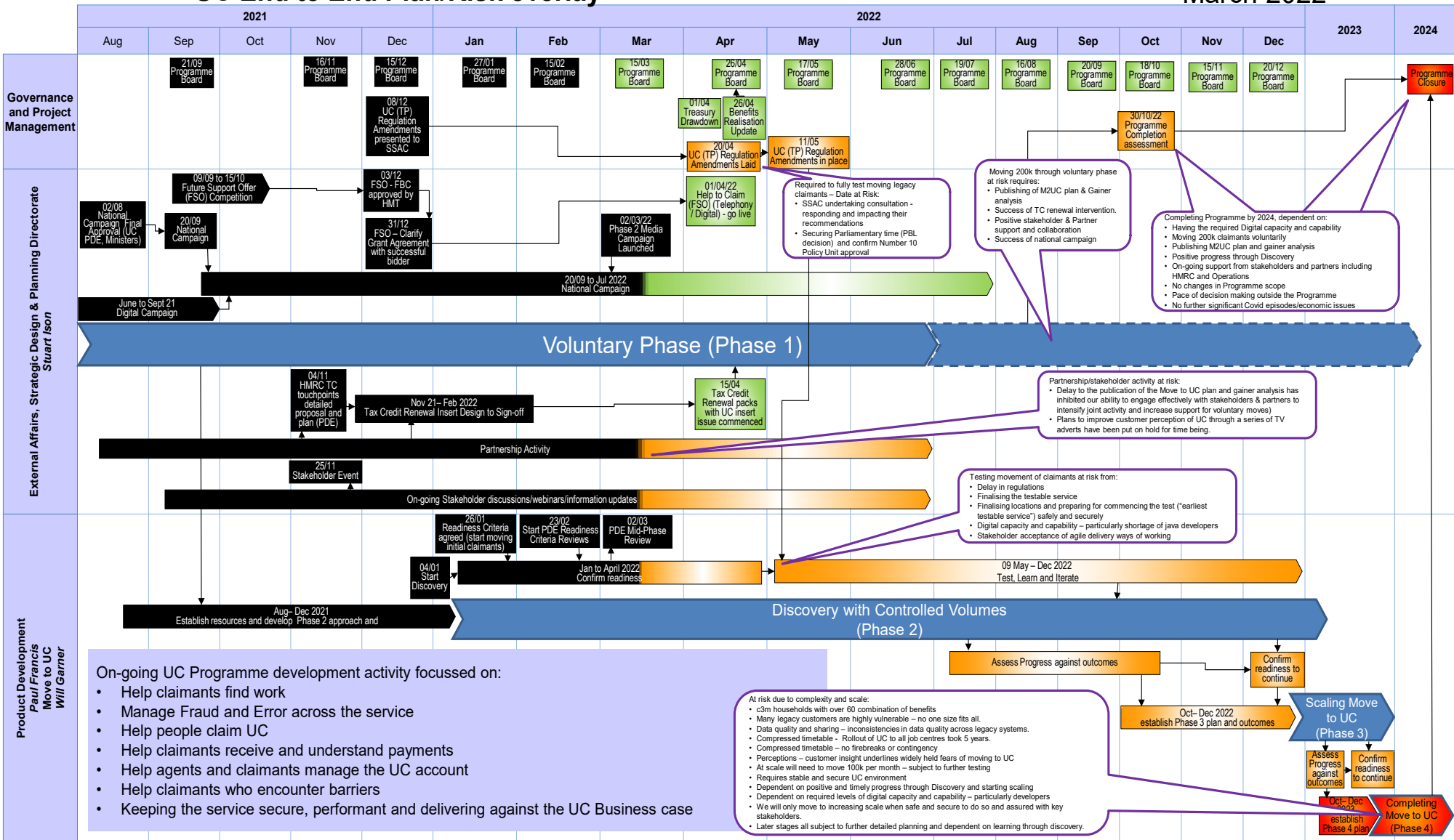
These figures are, of course, subject to change as new risks are identified which may impact the delivery of Move to UC. This will be kept under review to ensure that all relevant risks are being monitored.

## Annex 2: End to End UC Plan with Risk Overlay

# UC End to End Plan/Risk overlay

Official - Sensitive

March 2022



On-going UC Programme development activity focussed on:

- Help claimants find work
- Manage Fraud and Error across the service
- Help people claim UC
- Help claimants receive and understand payments
- Help agents and claimants manage the UC account
- Help claimants who encounter barriers
- Keeping the service secure, performant and delivering against the UC Business case

At risk due to complexity and scale:

- c3m households with over 60 combination of benefits
- Many legacy customers are highly vulnerable – no one size fits all.
- Data quality and sharing – inconsistencies in data quality across legacy systems.
- Compressed timetable - Rollout of UC to all job centres took 5 years.
- Compressed timetable – no firebreaks or contingency
- Perceptions – customer insight underlines widely held fears of moving to UC
- At scale will need to move 100k per month – subject to further testing
- Requires stable and secure UC environment
- Dependent on positive and timely progress through Discovery and starting scaling
- Dependent on required levels of digital capacity and capability – particularly developers
- We will only move to increasing scale when safe and secure to do so and assured with key stakeholders.
- Later stages all subject to further detailed planning and dependent on learning through discovery.

Completing Programme by 2024, dependent on:

- Having the required Digital capacity and capability
- Moving 200k claimants voluntarily
- Publishing M2UC plan and gainer analysis
- Positive progress through Discovery
- On-going support from stakeholders and partners including HMRC and Operations
- No changes in Programme scope
- Pace of decision making outside the Programme
- No further significant Covid episodes/economic issues

Moving 200k through voluntary phase at risk requires:

- Publishing of M2UC plan & Gainer analysis
- Success of TC renewal intervention.
- Positive stakeholder & Partner support and collaboration
- Success of national campaign

Required to fully test moving legacy claimants – Date at Risk:

- SSAC undertaking consultation - responding and impacting their recommendations
- Securing Parliamentary time (PBL decision) and confirm Number 10 Policy Unit approval

Partnership/stakeholder activity at risk:

- Delay to the publication of the Move to UC plan and gainer analysis has inhibited our ability to engage effectively with stakeholders & partners to intensify joint activity and increase support for voluntary moves)
- Plans to improve customer perception of UC through a series of TV adverts have been put on hold for time being.

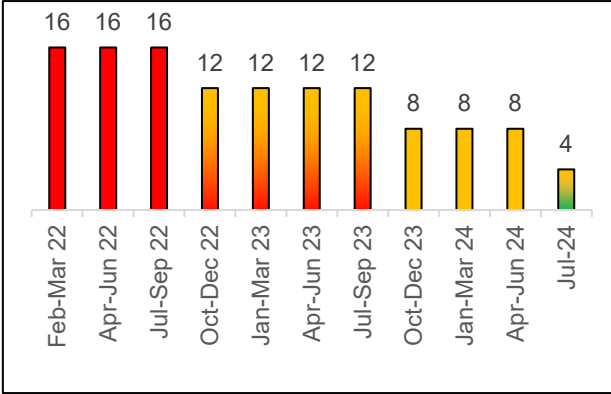
Testing movement of claimants at risk from:

- Delay in regulations
- Finalising the testable service
- Finalising locations and preparing for commencing the test ("earliest testable service") safely and securely
- Digital capacity and capability – particularly shortage of java developers
- Stakeholder acceptance of agile delivery ways of working

## Annex 3: Programme Board Level Risks

- P86 Move to UC – UC Programme completion by December 24
- P87 UC Java Developer Recruitment & Retention

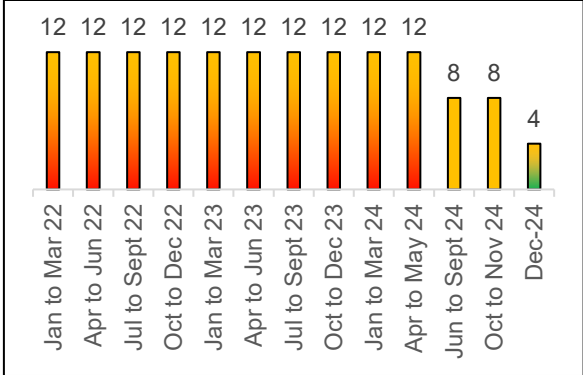
# P86 Move to UC – UC Programme completion by December 2024.

Risk	Risk Details	Mitigations Planned/Completed																								
<p><b>Description:</b> Compressed timescales with no capacity for planned firebreaks or contingencies, coupled with a lack of internal and external stakeholder alignment to the plan, may mean completing migration of all Legacy claimants and completing the UC Programme by the end of 2024 is unachievable.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>No capacity in the plan to allow for firebreaks or to implement contingency arrangements</li> <li>Decision making outside of the Programme is not sufficiently quick enough to maintain momentum at the pace required.</li> <li>Absence of absolute Ministerial and Internal and External Stakeholder commitment to support delivery of the UC plan and agreed UC priorities</li> <li>Absence of absolute Ministerial and Internal Stakeholder resistance to scope creep or significant Policy changes</li> <li>Absence of publication of the 'UC at Work' document including plan and gainer analysis, inhibiting our ability to engage effectively with Stakeholders/Partners</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>The UC Programme will not successfully deliver M2UC as planned by Dec 24</li> <li>The benefits stated in the UC Business Case may not be realised resulting in excess cost and reduced savings</li> <li>Significant reputational damage/serious Stakeholder/Partner concern</li> </ol>	<p><b>Risk Owner:</b> Stuart Ison  <b>Risk Action Manager:</b> Mark Cousen &amp; Louise Phillips  <b>Risk Raised:</b> 16/02/22  <b>Current Risk Rating:</b> R16 (Impact 4 x Likelihood 4)  <b>Target Risk Rating:</b> AG4 (Impact 4 x Likelihood 1)  <b>Target Date:</b> Jun 24  <b>Impact Date:</b> Jul 24</p> <p style="text-align: center;"><b>Expected Flight Path</b></p>  <table border="1" data-bbox="614 482 1225 872"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Period</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Feb-Mar 22</td><td>16</td></tr> <tr><td>Apr-Jun 22</td><td>16</td></tr> <tr><td>Jul-Sep 22</td><td>16</td></tr> <tr><td>Oct-Dec 22</td><td>12</td></tr> <tr><td>Jan-Mar 23</td><td>12</td></tr> <tr><td>Apr-Jun 23</td><td>12</td></tr> <tr><td>Jul-Sep 23</td><td>12</td></tr> <tr><td>Oct-Dec 23</td><td>8</td></tr> <tr><td>Jan-Mar 24</td><td>8</td></tr> <tr><td>Apr-Jun 24</td><td>8</td></tr> <tr><td>Jul-24</td><td>4</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li><b>Oct 22:</b> Risk reduced to AR12 once the review of progress has concluded and it has been confirmed that Programme completion by Dec 24 appears achievable.</li> <li><b>Oct 23:</b> Risk reduced to A8 once the review of progress has concluded and readiness to move into Completion Phase has been confirmed.</li> <li><b>July 24:</b> Risk mitigated to AG4 when we are confident that we will complete by the end of Dec 24.</li> </ul>	Period	Risk Rating	Feb-Mar 22	16	Apr-Jun 22	16	Jul-Sep 22	16	Oct-Dec 22	12	Jan-Mar 23	12	Apr-Jun 23	12	Jul-Sep 23	12	Oct-Dec 23	8	Jan-Mar 24	8	Apr-Jun 24	8	Jul-24	4	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>Publish 'UC at Work' document setting out M2UC plans and details of those who benefit from moving to UC (ASAP Date TBC)</li> <li>Progress monitoring of M2UC plans and reporting to PDE and PB (ongoing)</li> <li>Regular progress reviews undertaken against Scaling Entry Criteria at M2UC Board, PDE &amp; PB) (Feb to Oct 22)</li> <li>Delivery plans established to complete by Dec 24 (Oct 22)</li> <li>Review progress at PDE (to assess achievability of completing migration by Dec 24) (Oct 22)</li> <li>Review progress at PDE (to assess readiness to move into Completion Phase) (Oct 23)</li> <li>Plan and outcome established for Completing Move to UC Phase (Nov 23)</li> <li>Review progress at PDE (to confirm on track to complete the final Phase) (Jun 24)</li> <li>Secure Ministerial commitment to support agreed UC priorities and deliverables, avoiding any proposed Scope change or significant Policy changes (ongoing).</li> <li>Ensure robust change impacting process controls remain effective to protect UC from wider service transformation activity, except where it aligns with UC priorities (ongoing)</li> <li>Delivery plans and prioritisation will be managed alongside existing Governance protections at M2UC Oversight Board and UC PB/PDE (ongoing)</li> <li>Ministerial communications / forward look through meetings to apprise Ministers of progress and next steps, building a supportive and collaborative working relationship (ongoing)</li> <li>Working with Ministers, Stakeholders and Partners to create an enabling environment, increasing the pace of decision-making outside of the Programme (ongoing)</li> </ol> <p><b>Completed:</b></p>
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Feb-Mar 22	16																									
Apr-Jun 22	16																									
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# P87 UC Java Developer Recruitment & Retention



Risk	Risk Details	Mitigations Planned/Completed
<p><b>Description:</b> The highly competitive market for skilled software engineers puts DWP at a disadvantage, due to the Civil Service pay framework constraints for permanent recruitment and other Cabinet Office controls, which also affects how we can engage with commercial suppliers. The inability to compete in this rapidly changing market could mean that we are no longer able to change or maintain the UC digital service, including the migration of legacy claimants through Move to UC.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>Civil service pay for DDaT roles, including Java engineers is uncompetitive, demonstrated by salary benchmarks.</li> <li>Recruitment of Java developers is problematic due to fierce competition and high demand and limited supply</li> <li>The combination of challenges to retain existing resource and the inability to recruit new developers quickly enough means that we can't increase capacity as quickly as we would need in order to meet the demands on the programme</li> <li>Java Developers attrition rate is greater than our ability to recruit</li> <li>Cabinet Office controls, to restrict use of contingent labour may impact our ability to recruit/retain contingent labour</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>Requests for new functionality cannot be delivered, or have to be deferred.</li> <li>Without contingent labour for Java development, UC will not be able to maintain the digital service in its current state, will not be able to scale the service or deliver new functionality that the Programme has committed to.</li> <li>In the worst case scenario we would not be able to maintain the security and availability of the UC service.</li> </ol>	<p><b>Risk Owner:</b> Paul Francis  <b>Risk Action Manager:</b> Chris Thorn  <b>Risk Raised:</b> Feb 22  <b>Current Risk Rating:</b> AR12 (Impact 4, Likelihood 3)  <b>Target Risk Rating:</b> AG4 (Impact 4, Likelihood 1)  <b>Target Date:</b> Dec 24  <b>Impact Date:</b> Jan 25</p> <p style="text-align: center;"><b>Expected Flight Path</b></p>  <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li>➤ <b>Jun 24</b> – Risk reduced to A8 once we are content that we have sufficient resources in situ to be run/maintain a secure/performant service from Dec 24.</li> <li>➤ <b>Dec 24</b> Risk mitigated once we are content that we are running and maintaining a secure and performant service.</li> </ul>	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>Work at a Digital Group level on short, medium and long term initiatives to address the digital resource issue, with a focus on UC. Including:             <ul style="list-style-type: none"> <li>➤ Exploring with CDDO whether the adoption of the DDaT framework would increase the competitiveness of our offer (tbc)</li> <li>➤ Preparing a business case for HMT to increase the Digital Allowance for Java engineers (tbc)</li> <li>➤ Accelerating recruitment into our Birmingham hub (tbc)</li> <li>➤ Exploring the scope for flexibility within our hybrid working approach (tbc)</li> <li>➤ Applying increased flexibilities on contractor day rates in specific Java roles (tbc)</li> </ul> </li> <li>Pursuing all avenues and available commercial routes, including IBM, MadeTech and TCS. (ongoing)</li> <li>Work at Digital Group Level to re-benchmark roles and other strategic initiatives to address this digital resource issue. (ongoing)</li> <li>Continual improvement to UC recruitment and on-boarding processes (ongoing)</li> <li>Monitoring of the Workforce Planning Document to ensure sufficient resource numbers with the required skills and capability are retained as we progress through Discovery and Scaling Phase (ongoing)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>Mid-phase stock take (02/03/22)</li> </ol>

## Annexe 4: PDE Level Risks

- P83 Move to UC – Voluntary Phase (Phase 1)
- P84 Move to UC – Discovery (with Controlled Volumes) & Scaling Phases (Phases 2 & 3)
- P85 UC Fraud & Error Benefits Realisation

# P83 Move to UC - Voluntary Phase (Phase 1)

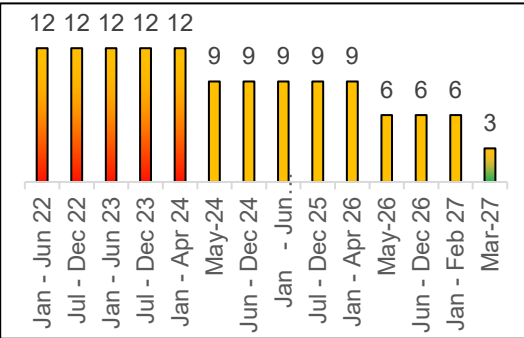
Risk	Risk Details	Mitigations Planned/Completed																						
<p><b>Description:</b> Legacy claimants may not be motivated to move to UC voluntarily leading to higher volumes than forecast for transition by the end of 2024</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>1. Claimants are not incentivised by the benefits of UC</li> <li>2. The Campaign does not motivate those on Legacy Benefits to investigate what UC means for them</li> <li>3. Too few Legacy claimants utilise the support of stakeholders to understand their UC entitlement. Claimants may not effectively utilise the benefit calculators or understand the UC offer available to them e.g. to predict their entitlement going forward or end of year tax credits reconciliation</li> <li>4. Claimants and Stakeholders find that the advice / calculators available do not cover all the circumstances of the claimants household and do not claim UC</li> <li>5. Stakeholders/Partners who may not wish to engage with DWP, have concerns about DWPs approach or fail to buy-in to UC.</li> <li>6. Stakeholders/Partners may be unsupportive and/or critical and actively state their opposition to DWPs approach adversely impacting UC.</li> <li>7. Without Ministers continued positive messaging, it may be difficult to maintain the improved perception of UC</li> <li>8. A lack of confidence in or a poor perception of UC (eg. adverse media coverage) may result in Legacy claimants becoming more resistant to voluntarily moving to UC</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>a. Failure to achieve sufficient voluntary migration volumes impacting completion by Dec 24</li> <li>b. The Voluntary Phase approach could generate negative media coverage/advertising complaints, which will require additional effort to overcome the new perception leading to greater effort to move claimants to UC and leading to less or a slower rate of claimants voluntarily migrating</li> <li>c. The footfall increase to enquiry routes and Partner services exceeds service capacity</li> <li>d. Poor claimant experience of moving to UC in Voluntary Phase could impact the effectiveness of the Campaign and associated tasks, impacting the numbers of claimants voluntarily moving to UC and leading to adverse UC reputation.</li> </ol>	<p><b>Risk Owner:</b> Stuart Ison  <b>Risk Action Managers:</b> Louise Phillips  <b>Risk Raised:</b> Nov 20  <b>Current Risk Rating:</b> R16 (Impact 4 x Likelihood 4)  <b>Target Risk Rating:</b> AG4 (Impact 4 x Likelihood 1)  <b>Target Date:</b> Mar 24  <b>Impact Date:</b> Apr 24</p> <p style="text-align: center;"><b>Expected Flight Path</b></p> <table border="1"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Period</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Jan-Mar 22</td><td>16</td></tr> <tr><td>Apr-Jun 22</td><td>16</td></tr> <tr><td>Jul-Sep 22</td><td>16</td></tr> <tr><td>Oct-Dec 22</td><td>12</td></tr> <tr><td>Jan-Mar 23</td><td>12</td></tr> <tr><td>Apr-Jun 23</td><td>12</td></tr> <tr><td>Jul-Sep 23</td><td>12</td></tr> <tr><td>Oct-Dec 23</td><td>8</td></tr> <tr><td>Jan-Mar 24</td><td>8</td></tr> <tr><td>Apr-Jun 24</td><td>4</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes:</b></p> <ul style="list-style-type: none"> <li>➤ <b>Oct 22</b> – Risk reduced to AR12 once the review of progress of Voluntary Phase has concluded and the likelihood of Programme completion by Dec 24 is achievable.</li> <li>➤ <b>Oct 23</b> – Risk reduced to A8 once the review of progress of Voluntary Phase has concluded and readiness to move into Completion Phase has been confirmed.</li> <li>➤ <b>Apr 24</b> – Risk mitigated to AG4 but the potential threat will be kept in view until we are confident that migration will be completed by Dec 24.</li> </ul> <p><b>To Note:</b> Delivery of the Voluntary Phase will continue into later Move to UC Phases. The rating will be kept under constant review.</p>	Period	Risk Rating	Jan-Mar 22	16	Apr-Jun 22	16	Jul-Sep 22	16	Oct-Dec 22	12	Jan-Mar 23	12	Apr-Jun 23	12	Jul-Sep 23	12	Oct-Dec 23	8	Jan-Mar 24	8	Apr-Jun 24	4	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>1) Issue of insert to promote the benefits of UC as part of tax credits renewals process begins (15/04/22)</li> <li>2) Publish 'UC at Work' document setting out M2UC plans and details of those who benefit from moving to UC (ASAP date TBC)</li> <li>3) National Advertising Campaign completed (Jul 22)</li> <li>4) Review progress of Voluntary Phase at PDE to assess achievability of completing migration by Dec 24 (Oct 22)</li> <li>5) Review progress of Voluntary Phase at PDE to assess volumes of voluntary movers in readiness for moving into Completion Phase (Oct 23)</li> <li>6) Themed external stakeholder events to communicate messages (including promoting the use of benefit calculators) and gain support / buy-in. Themes are: Health and Disability, Research, Finance and Welfare, Poverty and Children (monthly)</li> <li>7) Discussions on options to identify touchpoint opportunities, raise UC awareness and provide key updates with Local Government Associations via LA Welfare Steering Group (ongoing)</li> <li>8) National Stakeholder Update Events to deliver key messages (including promoting the use of benefit calculators), keeping stakeholders informed and engaged (ongoing)</li> <li>9) Ministerial communications / forward look through meetings to apprise Ministers of progress and next steps, building a supportive and collaborative working relationship (ongoing)</li> <li>10) Communicating changes to UC assessment rules to stakeholders, prompting them to update their benefit calculators to accurately reflect the new rules (ongoing)</li> <li>11) Random checks of independent benefit calculators signposted from gov.uk to ensure that they are giving accurate results (ongoing)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>a) Extra Ordinary Practitioner Operation Group (POG) to agree touch points and operations with LAs (15/11/21)</li> <li>b) Stakeholder event shared case studies to improve awareness of benefits of moving to UC (25/11/21)</li> <li>c) Clear communication with stakeholders, partners and legacy claimants to ensure fully aware of the reducing UC taper rate to 55p (31/12/21)</li> <li>d) Specialist regular meetings with external stakeholders (by theme/specialist area) (03/11/21, 04/11/21, 11/01/22, 13/01/22)</li> <li>e) Provide Minister with outcomes of fact-finding work on the benefits of UC in comparison to tax credits (14/01/22)</li> <li>f) Joint working with HMRC &amp; Strategic Comms to develop insert to promote the benefits of UC (aligned to Comms campaign) (04/02/22)</li> <li>g) Comms Campaign tracking survey to measure progress against baseline completed (14/02/22)</li> <li>h) Factual Campaign completed (27/02/22)</li> <li>i) National Advertising Campaign (including radio advertising) to increase understanding of the UC offer for tax credits claimants commences (02/03/22)</li> </ol>
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# P84 Move to UC – Discovery (with Controlled Volumes) & Scaling Phases (Phases 2 & 3)



Risk	Risk Details	Mitigations Planned/Completed																				
<p><b>Description:</b> Unexpected Departmental/Ministerial priority changes, Operations readiness or inability to manage the required volume of claims may impact the Programme's ability to begin and sustain the Discovery and Scaling Phases of M2UC.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>Changes to Policy or Design resulting from wider Government decisions, legislative requirements, Operational Capacity/Readiness, Judicial Reviews and Tribunal Decisions may require changes to migration designs, processes and supporting materials slowing or delaying progress/timescales.</li> <li>Planned levels of automation e.g. Transitional Protection (TP) data gather, may not be achieved impacting progress.</li> <li>We may be unable to provide sufficient Design clarity in time for Operations to prepare for and start scaling.</li> <li>Skilled resource assigned to Discovery &amp; Scaling work may be redirected to Voluntary Phase</li> <li>Other initiatives across the Department may place additional demand on the UC Programme</li> <li>Responses to further COVID-19 outbreaks and/or to economic instability may necessitate changing UC prioritisation plans and/or further business intervention i.e. redirection of UC resources to support other Ministerial priorities.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>Unable to begin or maintain the pace of M2UC Discovery and Scaling as set out in the scalability plan and progress to completion Phase 4.</li> <li>We do not learn enough in the Discovery Phase to identify how to confidently start the Scaling Phase as planned.</li> <li>Numbers and claimant types remaining on legacy may necessitate a different approach.</li> <li>The quality of 'service releases' and delivery may be compromised.</li> <li>There may be consequences on the service delivery plans of our delivery partners</li> <li>The monthly volume of people to move to UC is more than is possible by end of 2024</li> </ol>	<p><b>Risk Owner:</b> Will Garner  <b>Risk Action Manager:</b> S40  <b>Risk Raised:</b> 05/07/21  <b>Current Risk Rating:</b> R16 (Impact 4 x Likelihood 4)  <b>Target Risk Rating:</b> A8 (Impact 4 x Likelihood 2)  <b>Target Date:</b> Nov 23  <b>Impact Date:</b> Jan 24</p> <p style="text-align: center;"><b>Expected Flight Path</b></p> <table border="1"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Period</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Jan - Mar 22</td><td>16</td></tr> <tr><td>Apr - Jun 22</td><td>16</td></tr> <tr><td>Jul - Sep 22</td><td>16</td></tr> <tr><td>Oct - Dec 22</td><td>16</td></tr> <tr><td>Jan - Mar 23</td><td>16</td></tr> <tr><td>Apr - Jun 23</td><td>16</td></tr> <tr><td>Jul-23</td><td>12</td></tr> <tr><td>Aug - Oct 23</td><td>12</td></tr> <tr><td>Nov-23</td><td>8</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li>➤ <b>Jul 23</b> – Risk reduced to AR12 once we have evidence that Scaling is on track to complete by Dec 23</li> <li>➤ <b>Nov 23</b> – Risk mitigated to A8 once the assessment shows that we will be ready to move into the Completion Phase from Jan 24.</li> </ul>	Period	Risk Rating	Jan - Mar 22	16	Apr - Jun 22	16	Jul - Sep 22	16	Oct - Dec 22	16	Jan - Mar 23	16	Apr - Jun 23	16	Jul-23	12	Aug - Oct 23	12	Nov-23	8	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>Parliamentary approval for updates to M2UC regulations, removing the 10,000 limit, remove discretionary hardship payments &amp; align regulations for couples and students in full time education come into force (11/05/22)</li> <li>Test, Learn and Iterate the service, including automation e.g. TP data gather commences by (09/05/22)</li> <li>Regular progress reviews undertaken against Scaling Entry Criteria at M2UC Board, PDE &amp; PB) (Mar to Oct 22)</li> <li>Review progress at PDE to assess achievability of completing migration by Dec 24 (Oct 22)</li> <li>Plan and outcome established for Scaling M2UC Phase (Nov 22)</li> <li>Entry criteria (including site &amp; staff) and readiness completed to commence Scaling Phase (Dec 22)</li> <li>Commence Scaling M2UC Phase (Phase 3) (Jan 23)</li> <li>Review progress of Scaling to confirm on track (Jun 23)</li> <li>Review progress at PDE (to assess readiness to move into Completion Phase) (Oct 23)</li> <li>Adopting a phased prioritisation process alongside governance protection (ongoing)</li> <li>Robust change impacting process controls protect UC from wider service transformation activity, except where it aligns with UC priorities (ongoing)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>Submission to Ministers regarding UC regulations (04/08/21)</li> <li>M2UC agreed as a priority for the impending Spending Review (Oct 21)</li> <li>Outcome of SR confirmed by HMT (27/10/21)</li> <li>Team built and in place ready to start Discovery (31/12/21)</li> <li>Approach, Plan, Outcomes and Resources established for Discovery (with controlled volumes) Phase (31/12/21)</li> <li>Commence Discovery (with controlled volumes) Phase (Phase 2) (04/01/22)</li> <li>SSAC provisionally agreed that there will be no requirement to undertake a full public consultation on the regulations. Discussions are ongoing as to what level of consultation is required.</li> <li>Progress review undertaken against Scaling Entry Criteria at M2UC Board, PDE &amp; PB) (Feb 22)</li> </ol>
Period	Risk Rating																					
Jan - Mar 22	16																					
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Jul-23	12																					
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Nov-23	8																					

# P85 UC Fraud & Error Benefits Realisation

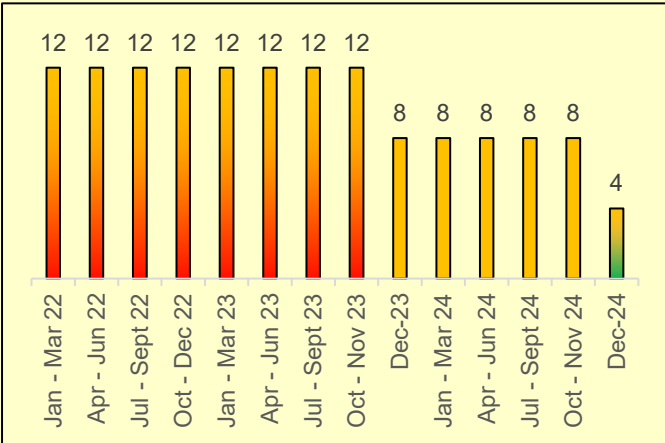
Risk	Risk Details	Mitigations Planned/Completed																														
<p><b>Description :</b> Without the successful completion of the MVFE reduction plan and M2UC by the end 2024 the levels of MVFE and the corresponding benefits stated in the UC FBC including MVFE savings by 2026/2027 will not be achieved</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>The Pre-COVID rise in MVFE, driven by Capital, Earnings, Living Together &amp; Housing i.e. not solely COVID related</li> <li>The UC caseload has changed during COVID, with increases in particular claimant groups who may not report changes to their situation as it improves, leading to higher rates of fraud &amp; error</li> <li>The 'Trust and Protect' (T&amp;P) easements previously applied to UC claims mean some verification was not asked for or face-to-face contact was not completed, which affected the likelihood of errors occurring.</li> <li>The Gainfully self-employed (GSE) and Minimum Income Floor (MIF) were temporarily suspended during COVID to support gainfully self-employed claimants during the pandemic. Had it not been suspended, it is likely that MIF would have reduced the UC overpayment rate by between 0.7% and 1.5% against the business case.</li> <li>Competing design priorities and/or missing processes</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>Without implementation of the MVFE reduction plan, the proposals for cleansing the stock of fraud in the SR bid, and the completion of move to UC levels of MVFE and the savings identified in the UC FBC may not be achieved, and therefore: <ul style="list-style-type: none"> <li>Increased AME Costs due to higher Fraud &amp; Error</li> <li>The benefits and savings agreed in the FBC may not be realised.</li> <li>Resulting in significant reputational damage and continued serious stakeholder concern.</li> </ul> </li> </ol> <p><b>To Note:</b> The UC FBC F&amp;E savings were based on the expected levels of the Monetary Value of Fraud and Error (MVFE) over the lifetime of the business case in the legacy counterfactual. The forecast level of MVFE in UC after those savings are achieved is estimated to be around 6.5%.</p>	<p><b>Risk Owner:</b> Will Garner  <b>Risk Action Manager:</b> Iain Russell, Paula Hassall  <b>Risk Raised:</b> 04/08/21  <b>Current Risk Rating:</b> AR12 (Impact 3 x Likelihood 4)  <b>Target Risk Rating:</b> AG3 (Impact 3 x Likelihood 1)  <b>Target Date:</b> Mar 27  <b>Impact Date:</b> Apr 27</p> <p style="text-align: center;"><b>Expected Flight Path</b></p>  <table border="1" data-bbox="721 472 1245 806"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Date</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Jan - Jun 22</td><td>12</td></tr> <tr><td>Jul - Dec 22</td><td>12</td></tr> <tr><td>Jan - Jun 23</td><td>12</td></tr> <tr><td>Jul - Dec 23</td><td>12</td></tr> <tr><td>Jan - Apr 24</td><td>12</td></tr> <tr><td>May-24</td><td>9</td></tr> <tr><td>Jun - Dec 24</td><td>9</td></tr> <tr><td>Jan - Jun 25</td><td>9</td></tr> <tr><td>Jul - Dec 25</td><td>9</td></tr> <tr><td>Jan - Apr 26</td><td>9</td></tr> <tr><td>May-26</td><td>6</td></tr> <tr><td>Jun - Dec 26</td><td>6</td></tr> <tr><td>Jan - Feb 27</td><td>6</td></tr> <tr><td>Mar-27</td><td>3</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li>➤ <b>May 24</b> – Risk reduced to A9 once reduction in published MVFE numbers is confirmed</li> <li>➤ <b>May 26</b> – Risk reduced to A6 once further reduction in published MVFE numbers is confirmed</li> <li>➤ <b>Mar 27</b> – Risk mitigated to AG3 once all treatment actions undertaken e.g. case cleanse of the stock of fraud and MVFE reduction plan completed.</li> </ul> <p><b>To Note:</b> The Risk rating reduction dates shown in the above Flight Path have been determined allowing sufficient time for MVFE reduction measures to take full effect.</p>	Date	Risk Rating	Jan - Jun 22	12	Jul - Dec 22	12	Jan - Jun 23	12	Jul - Dec 23	12	Jan - Apr 24	12	May-24	9	Jun - Dec 24	9	Jan - Jun 25	9	Jul - Dec 25	9	Jan - Apr 26	9	May-26	6	Jun - Dec 26	6	Jan - Feb 27	6	Mar-27	3	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>TCR Beta Phase (Trial &amp; Test) completes (tbc)</li> <li>TCR Scaling Phase to 230 agents completes (Jul 22)</li> <li>Publication of numbers confirming reduction in MVFE (May 23)</li> <li>TCR increased scaling to 2000 agents completes (May 24)</li> <li>Publication of numbers confirming continuing reduction in MVFE (May 24)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>National rollout for risk-based identity verification via face-to-face channel</li> <li>Review re multiple claims/same housing/same surname commenced (Dec 20)</li> <li>SRS annual rent changes – improvements to the annual rent changes feature introduced in April 2021.</li> <li>Reintroduction of GSE/MIF (Aug 21)</li> <li>£163m of investment to cleanse the stock of fraud included in SR (Oct 21)</li> <li>SR funding confirmed by HMT (27/10/21)</li> <li>Ways of working strands are in place to focus on key areas</li> <li>Targeted Case Review (TCR) Alpha Phase (co-design phase to establish a review process for up to 30 agents) completed.</li> <li>Cross Directorate Delivery Team (CDDT) collaborating on the roadmap of activities to reduce Fraud and Error</li> <li>Strand teams within CDDT with responsibility for actively managing the roadmap of activities for each major MVFE driver</li> <li>Strategy Implementation and Assurance (SIA) to ensure the ways of working deliver the expected outcomes in line with FED Strategy</li> </ol> <p><b>To Note:</b> The following are Strand Focus areas:</p> <ul style="list-style-type: none"> <li>➤ Capital</li> <li>➤ Earnings</li> <li>➤ Housing</li> <li>➤ Living Together</li> <li>➤ Identity Verification (failure to engage)</li> </ul>
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## Annexe 5: Top Strand Level Risks

- M2UC02 Move to UC – Complete UC Phase (Phase 4)
- SESB05 Stakeholder Communications
- D02 Security Data Breach
- D04 UC Product Development Capacity/Capability
- PPA01 Transformation Benefits Realisation
- D01 Dependent Systems
- D03 Product Developer Capacity/Capability for M2UC



## M2UC02 Move to UC – Complete UC Phase (Phase 4)

Risk	Risk Details	Mitigations Planned/Completed																														
<p><b>Description:</b> Unforeseen changes or effort (additional tasks, more time for new tasks or more time for existing tasks) required to Move Claimants to UC may impact the scalability plan resulting in the UC Programme being unable to successfully migrate Legacy Benefit/Tax Credit claimants to UC as planned by Dec 24.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>1. A high volume of people do not make a claim to UC therefore the migration success rate is less than predicted and larger volumes of claimants need to be moved in the final phase.</li> <li>2. Responses to economic instability may necessitate changing UC prioritisation plans and/or further business intervention.</li> <li>3. Insufficient Product Developers and/or Operational resource (capacity and/or capability) required to complete all migrations as set out in scalability plan</li> <li>4. Planned levels of automation may not be achieved impacting deliverability.</li> <li>5. Changes to UC Policy or Design resulting from wider Government decisions, legislative requirements, Operational Capacity/Readiness, Judicial Reviews and Tribunal Decisions may require reprioritisation changes to migration designs, processes and supporting materials slowing or delaying progress/timescales.</li> <li>6. No capacity in the plan to allow for firebreaks or to implement contingency arrangements.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>a. The UC Programme will not successfully deliver 'Move to UC' as planned by December 2024.</li> </ol>	<p><b>Risk Owner:</b> Will Garner  <b>Risk Action Manager:</b> S40  <b>Risk Raised:</b> 05/07/21  <b>Current Risk Rating:</b> AR12 (Impact 4 x Likelihood 3)  <b>Target Risk Rating:</b> AG4 (Impact 4 x Likelihood 1)  <b>Target Date:</b> Dec 24  <b>Impact Date:</b> Dec 24</p> <p style="text-align: center;"><b>Expected Flight Path</b></p>  <table border="1" style="margin-left: auto; margin-right: auto;"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Period</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Jan - Mar 22</td><td>12</td></tr> <tr><td>Apr - Jun 22</td><td>12</td></tr> <tr><td>Jul - Sept 22</td><td>12</td></tr> <tr><td>Oct - Dec 22</td><td>12</td></tr> <tr><td>Jan - Mar 23</td><td>12</td></tr> <tr><td>Apr - Jun 23</td><td>12</td></tr> <tr><td>Jul - Sept 23</td><td>12</td></tr> <tr><td>Oct - Nov 23</td><td>12</td></tr> <tr><td>Dec-23</td><td>8</td></tr> <tr><td>Jan - Mar 24</td><td>8</td></tr> <tr><td>Apr - Jun 24</td><td>8</td></tr> <tr><td>Jul - Sept 24</td><td>8</td></tr> <tr><td>Oct - Nov 24</td><td>8</td></tr> <tr><td>Dec-24</td><td>4</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li>➤ <b>Dec 23</b> – Risk reduced to A8 once we are assured that we are able to commence with full scale migration of remaining claimants as set out in the scalability plan from Jan 24.</li> <li>➤ <b>Dec 24</b> – Risk mitigated to AG4 once Move to UC is complete and the Programme can move to formal closure actions.</li> </ul>	Period	Risk Rating	Jan - Mar 22	12	Apr - Jun 22	12	Jul - Sept 22	12	Oct - Dec 22	12	Jan - Mar 23	12	Apr - Jun 23	12	Jul - Sept 23	12	Oct - Nov 23	12	Dec-23	8	Jan - Mar 24	8	Apr - Jun 24	8	Jul - Sept 24	8	Oct - Nov 24	8	Dec-24	4	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>1) Review progress at PDE to assess achievability of completing migration by Dec 24 (Oct 22)</li> <li>2) Review progress at PDE (to assess readiness to move into Completion Phase) (Oct 23)</li> <li>3) Plan and outcome established for Completing Move to UC Phase (Nov 23)</li> <li>4) Regular monitoring and progress reporting of Move to UC Phases 1 to 4 is through Governance Boards i.e. planned automaton of processes, Operational Capacity. (ongoing)</li> <li>5) Monitoring of the Workforce Planning Document to ensure sufficient resource numbers with the required skills and capability are retained as we move to Completion Phase (ongoing).</li> <li>6) All proposed changes and new Policy/Operational requirements are managed through UC Change Impacting Group. Transparent impacting and control processes are in place with any scope changes or additional requirements agreed through robust Governance arrangements at PDE. (ongoing)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>a) Some mitigations (including completed actions) to address this Risk are included in Programme Risks P84 and P86, which are routinely cross referenced and scrutinised/monitored at Governance Boards.</li> </ol>
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Jan - Mar 22	12																															
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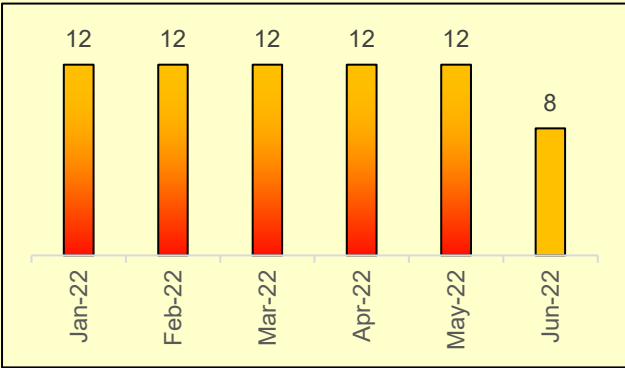
# SESB05 Stakeholder Collaboration

Risk	Risk Details	Mitigations Planned/Completed																				
<p><b>Description:</b> The inability to use Operational colleagues, UC Product Teams or other UC teams during the Voluntary Phase has influenced the Programme to choose to work collaboratively with external Partners/Stakeholders to support claimants voluntary move to UC. If there is any disparity in communications or advice given, this may make claimants resistant to the move and/or cause reputational damage to the Department/Partners/Stakeholders.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>Stakeholders may not be fully sighted on all the information required to give a full and accurate assessment of claimants' potential entitlement to UC e.g. claimants may be unaware of their debt position, so this may not be factored in to the assessment</li> <li>Benefit Calculators may not fully reflect all of the varied and complex circumstances experienced by claimants, leading to them giving incomplete or inaccurate assessments of potential entitlement</li> <li>Partners/Stakeholders may find that the advice / calculators available to them do not cover all the circumstances of the claimants household and to 'fill the gaps' unintentionally give the claimant incomplete or incorrect information leading to an erroneous claim</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>Claimants may receive less money on Universal Credit than on Legacy benefits, even if their award amount is higher</li> <li>Claimants may miss out on Transitional Protection by undertaking a voluntary migration</li> <li>There may be legal challenges / judicial reviews, with associated negative media coverage and reputational damage for Universal Credit, DWP and the government</li> <li>The claimant may decide to claim Universal Credit on the basis of incomplete, inaccurate or misunderstood information leading to the potential of further negative perception of UC</li> </ol>	<p><b>Risk Owner:</b> Stuart Ison  <b>Risk Action Manager:</b> S40  <b>Risk Raised:</b> Apr 21  <b>Current Risk Rating:</b> AR12 (Impact 4 x Likelihood 3)  <b>Target Risk Rating:</b> AG4 (Impact 4 x Likelihood 1)  <b>Target Date:</b> Oct 22  <b>Impact Date:</b> Nov 22</p> <p style="text-align: center;"><b>Expected Flight Path</b></p> <table border="1"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Month</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Feb-22</td><td>12</td></tr> <tr><td>Mar-22</td><td>12</td></tr> <tr><td>Apr-22</td><td>8</td></tr> <tr><td>May-22</td><td>8</td></tr> <tr><td>Jun-22</td><td>8</td></tr> <tr><td>Jul-22</td><td>8</td></tr> <tr><td>Aug-22</td><td>8</td></tr> <tr><td>Sep-22</td><td>8</td></tr> <tr><td>Oct-22</td><td>4</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes:</b></p> <ul style="list-style-type: none"> <li><b>Apr 22</b> - Risk reduced to A8 once we are satisfied that communications to Partners / Stakeholders are being delivered effectively and the guidance given is being followed consistently by all.</li> <li><b>Oct 22</b> - Risk reduced to AG4 once evaluation work has been undertaken and has further confirmed that Partners / Stakeholders are consistently and effectively delivering accurate messaging to claimants, supporting them to make an informed decision around voluntarily moving to UC.</li> </ul>	Month	Risk Rating	Feb-22	12	Mar-22	12	Apr-22	8	May-22	8	Jun-22	8	Jul-22	8	Aug-22	8	Sep-22	8	Oct-22	4	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>UC at Work publication to communicate positive messages and benefits of UC (ASAP date TBC)</li> <li>Stakeholder Engagement Survey to assess progress against baseline and action taken on feedback (May 22 tbc)</li> <li>Joint working with HMRC &amp; Strategic Comms to develop further opportunities for engagement and communications (eg. further communications with tax credits claimants (May 22 tbc)</li> <li>Themed external stakeholder events to communicate messages (including promoting the use of benefit calculators) and gain support / buy-in. Themes are: Health and Disability, Research, Finance and Welfare, Poverty and Children (ongoing)</li> <li>Work with Partners / Stakeholders to raise awareness of voluntarily moving to UC, including touchpoint opportunities (ongoing)</li> <li>National Stakeholder Update Events to deliver key messages (including promoting the use of benefit calculators), keeping stakeholders (including Local Authority Welfare Steering Group) informed and engaged (ongoing)</li> <li>Working group formed from POG/LAWSG to explore opportunities to further raise awareness of UC (ongoing)</li> <li>Communicating changes to UC assessment rules to stakeholders, prompting them to update their benefit calculators to accurately reflect the new rules (ongoing)</li> <li>Random checks of independent benefit calculators to ensure that they are giving accurate results (ongoing)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>Move to UC update at OSEF (21/10/21)</li> <li>PDE proposition on SRS opportunities and general Move update (03/11/21)</li> <li>Extra Ordinary Practitioner Operation Group (POG) to agree touch points and operations with LAs (15/11/21)</li> <li>Meeting with SRS Landlords to discuss how they can support the Voluntary Move to UC approach. eg. UC leaflet to be included in Annual Rent Changes letters (17/11/21)</li> <li>Attendance at LA WSG to consider touchpoint options (25/11/21)</li> <li>Stakeholder Engagement Survey undertaken to provide a baseline against which to assess progress (25/11/21)</li> <li>Specialist regular meetings with external stakeholders (by theme/specialist area) (03/11/21, 04/11/21, 11/01/22, 13/01/22)</li> <li>Joint working with HMRC &amp; Strategic Comms to develop insert to promote the benefits of UC (aligned to Comms campaign) (04/02/22)</li> </ol>
Month	Risk Rating																					
Feb-22	12																					
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Apr-22	8																					
May-22	8																					
Jun-22	8																					
Jul-22	8																					
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# D02 Security Data Breach

Risk	Risk Details	Mitigations Planned/Completed
<p><b>Description:</b> A significant successful security attack or security compromise (internal or external) may result in loss of service; or unauthorised access to DWP systems leading to privacy breaches, payment fraud; or incorrect/delayed payments.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>Malicious or unauthorised access of UC systems and the transmitting of unsanctioned claimant data outside the Department.</li> <li>Global threats including malicious software and ransomware</li> <li>Internal security breach leading to the unauthorised exposure of claimant data during implementation/improvements</li> <li>Privileged Users using elevated access rights.</li> <li>RBAC easements implemented during COVID-19 respond phase.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>Loss of service including delays to payments and new claims</li> <li>Embarrassment, distress or physical harm to claimants following a privacy breach</li> <li>Significant internal or external fraud including payment diversion.</li> <li>Claimant identity theft</li> <li>Loss of confidence in public services including refusal to comply with UC conditionality to due privacy concerns</li> <li>Possible extensive fines from the ICO and public or parliamentary inquiries</li> </ol>	<p><b>Risk Owner:</b> Paul Francis  <b>Risk Action Manager:</b> S40  <b>Risk Raised:</b> 05/03/21  <b>Current Risk Rating:</b> AR12 (Impact 4 x Likelihood 3)  <b>Target Tolerance Risk Rating:</b> A8 (Impact 4 x Likelihood 2)  <b>Target Date:</b> May 22  <b>Impact Date:</b> Jun 22</p> <p style="text-align: center;"><b>Expected Flight Path</b></p>  <p style="text-align: center;"><b>Flight Path Rationale/Changes:</b></p> <ul style="list-style-type: none"> <li><b>Jun 22</b> – Risk reduced to Tolerance Rating of A8 once the mitigation regarding Deletion of historic data and automation of the deletion process (phases 1 &amp; 2) is complete.</li> </ul> <p><b>To Note:</b></p> <ul style="list-style-type: none"> <li>Any cyber event to UC, regardless of ‘actual compromise’, would attract considerable media attention and could lead to significant reputational damage UC will always carry a risk rating of at least Amber 8.</li> <li>Although there is currently no intelligence of a cyber attack planned specifically against UC, there is an increased threat as a result of the conflict in Ukraine. UC Secure Design have reviewed our posture against the National Cyber Security Centre’s recommendations. UC are also implementing the DWP Adaptive Security Programme which is aims to ensure we are prepared for evolving threats.</li> </ul>	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>A briefing on the potential for Cyber-Attack linked to the conflict in Ukraine to be presented to PDE (23/03/22)</li> <li>Migration of UC Agents provisioning to DWP Place completed (31/03/22)</li> <li>Roll-out Enterprise Tanium to all applicable devices (30/04/22)</li> <li>Deletion of historic data (phase 1 &amp; 2) (31/05/22)</li> <li>DB encryption:             <ul style="list-style-type: none"> <li>Complete searchable encryption from DB2 and D&amp;A delivering PII field decryption capability (Phase 12 tbc).</li> </ul> </li> <li>Process improvements identified to address vulnerabilities (tbc)</li> <li>Review capability (system and resource) to deal with a Ransomware attack (tbc)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>PAM (CyberArk): Following issues with CyberArk implementation, it has been decided to review next Privileged Access Management solutions.</li> <li>Spacewalk has been implemented for automated patching</li> <li>Security Monitoring analysis and alerting has been improved</li> <li>Vulnerability &amp; Patch Management SLAs have improved.</li> <li>DB encryption:             <ul style="list-style-type: none"> <li>Assess the next phase of Database encryption (DB3) (Q1 2021)</li> </ul> </li> <li>RBAC rollback from 70k users in advanced access group during COVID down to 30k.</li> <li>Burbank production hosting environment provided with real-time patch level information (Q4 21) .</li> <li>Dependency on Crown Dataworks platform removed to allow historic data to be deleted from the live UC database.</li> <li>Deletion of historic data commenced (Dec 21).</li> <li>Analysis to identify Personally Identifiable Information(PII) in UC completed, categorised as A) Partially encrypted (i.e. requires additional encryption), B) Unencrypted PII and High priority, C) Unencrypted PII and low priority or D) Not PII.</li> <li>Teams identified that own the collections holding PII data to allow tickets to be put into their backlog</li> </ol>

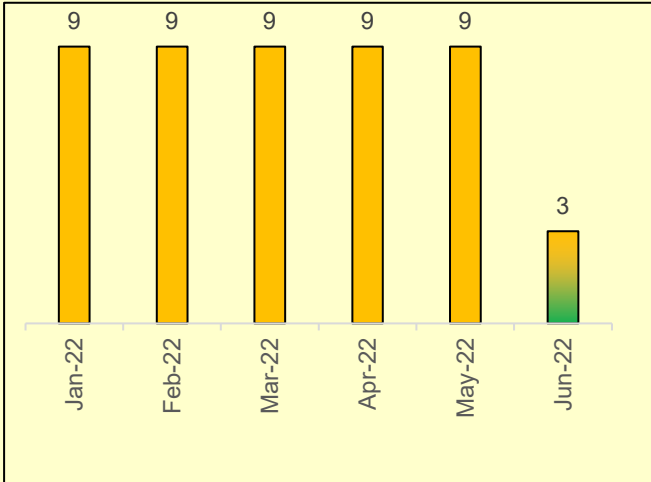
# D04 UC Product Development Capacity/Capability

Risk	Risk Details	Mitigations Planned/Completed																												
<p><b>Description :</b> Unattractive salary levels, limited supplies for skilled contract roles and new Cabinet Office controls may impact our ability to increase and maintain resource capacity &amp; capability at the scale needed to meet all the Programme requirements, including but not limited to: reducing fraud &amp; error, supporting labour market initiatives, running/maintaining a secure/performant service and moving people from legacy benefits to UC by the end of 2024</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>1. Recruitment of permanent staff is difficult e.g. due to unattractive salary level, highly competitive market, increasing timescales</li> <li>2. Recruitment of some contract roles e.g. Java software engineers is problematic due to fierce competition and high demand and limited supply</li> <li>3. Cabinet Office controls, to restrict use of contingent labour (introduced 01/11/21) may impact our ability to recruit/retain contingent labour</li> <li>4. Changes to Departmental Priorities regarding MVFE may require reprioritisation between M2UC and Fraud &amp; Error</li> <li>5. Unable to retain the existing teams and skill levels alongside increasing capacity/capability quickly enough to meet the resource demands</li> <li>6. Java Developers attrition rate is greater than our ability to recruit</li> <li>7. Unscheduled requests to make changes to the UC service (including GOV.UK content, work coach instructions or Jobcentre process) that may require additional support during the Voluntary Phase.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>a. M2UC timescales will not be met</li> <li>b. New functionality resulting from change requests would not be delivered.</li> <li>c. Capacity/Capability of the team will be over stretched</li> <li>d. Without contingent labour for Java development and DevOps the Programme will not be able to maintain the system in its current state, will not be able to scale the service or deliver new functionality that the Programme has committed to.</li> <li>e. In the worst case scenario we would not be able to maintain the security and availability of the system.</li> </ol>	<p><b>Risk Owner:</b> Paul Francis  <b>Risk Action Manager:</b> Chris Thorn  <b>Risk Raised:</b> Nov 21  <b>Current Risk Rating:</b> AR12 (Impact 4, Likelihood 3)  <b>Target Risk Rating:</b> AG4 (Impact 4, Likelihood 1)  <b>Target Date:</b> Dec 24  <b>Impact Date:</b> Dec 24</p> <p style="text-align: center;"><b>Expected Flight Path</b></p> <table border="1"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Period</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr><td>Jan to Mar 22</td><td>12</td></tr> <tr><td>Apr to Jun 22</td><td>12</td></tr> <tr><td>Jul to Sept 22</td><td>12</td></tr> <tr><td>Oct to Dec 22</td><td>12</td></tr> <tr><td>Jan to Mar 23</td><td>12</td></tr> <tr><td>Apr to Jun 23</td><td>12</td></tr> <tr><td>Jul to Sept 23</td><td>12</td></tr> <tr><td>Oct to Dec 23</td><td>12</td></tr> <tr><td>Jan to Mar 24</td><td>8</td></tr> <tr><td>Apr to Jun 24</td><td>8</td></tr> <tr><td>Jul to Sept 24</td><td>8</td></tr> <tr><td>Oct to Nov 24</td><td>8</td></tr> <tr><td>Dec-24</td><td>4</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li>➤ <b>Jan 24 –</b> Risk reduced to A8 once we are content that we have a full complement of resource to be able to commence with the Completion Phase of M2UC to move claimants from legacy benefits to UC.</li> <li>➤ <b>Dec 24</b> Risk mitigated once we are content that we are running and maintaining a secure and performant service.</li> </ul>	Period	Risk Rating	Jan to Mar 22	12	Apr to Jun 22	12	Jul to Sept 22	12	Oct to Dec 22	12	Jan to Mar 23	12	Apr to Jun 23	12	Jul to Sept 23	12	Oct to Dec 23	12	Jan to Mar 24	8	Apr to Jun 24	8	Jul to Sept 24	8	Oct to Nov 24	8	Dec-24	4	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>1) Outcome from Mid-Phase stock take to be presented to PB (15/03/22)</li> <li>2) Work at Digital Group Level to re-benchmark roles and other strategic initiatives to address the chronic digital resource issue. (ongoing)</li> <li>3) Further development of UC communities of practice to improve retention (ongoing)</li> <li>4) Continual improvement to UC recruitment and on-boarding processes (ongoing)</li> <li>5) Pursuing all avenues and available commercial routes, including IBM, MadeTech and TCS. (ongoing)</li> <li>6) Monitoring of the Workforce Planning Document to ensure sufficient resource numbers with the required skills and capability are retained as we progress through Discovery and Scaling Phase (ongoing)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>a) A recruitment specialist from BPDTS who was initially focussed on increasing capacity for Move, is now spending more time on helping us to address our more general recruitment challenges</li> <li>b) Successfully recruited more permanent delivery managers</li> <li>c) Budget allocation for procurement exercise confirmed by PDE</li> <li>d) Procurement exercise to increase resource for Targeted Case Review completed</li> <li>e) Review of the use of “Digital Allowance” completed.</li> <li>f) CSEP re-benchmarking (across all roles) completed (31/01/22)</li> <li>g) Mid-phase stock take (02/03/22)</li> </ol>
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# PPA01 Transformation Benefits Realisation

Risk	Risk Details	Mitigations Planned/Completed																												
<p><b>Description:</b> The Programme may not achieve its Transformation potential and associated benefits realisation. These include the following Priority Benefits:</p> <ul style="list-style-type: none"> <li>Operational Efficiencies</li> <li>Reduction in Fraud and Error</li> <li>Labour Market impacts</li> </ul> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>Changes to UC Policy, Scope or Design i.e. linked to changes in Ministerial priorities, re-prioritisation of the Single Departmental Plan, Judicial/Tribunal decisions, Fiscal impacts, or external pressures.</li> <li>UC Operating Model is not adhered to and/or claimants do not respond positively to the voluntary migration campaign delaying UC completion.</li> <li>The enhanced Labour Market Regime does not deliver the efficiencies as per Policy expectations/intent.</li> <li>Changed priorities may result in the planned level of automation not now being achievable or does not have the anticipated impact on Operational efficiencies.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>Delayed deliverables to time, cost and quality may not be achieved, therefore:                             <ul style="list-style-type: none"> <li>Operational FTE will increase beyond intended levels outlined in the FBC increasing DEL costs beyond expectations.</li> <li>The amount of required change (repair and new) may saturate operations which may mean performance levels are not sustainable.</li> <li>Labour Market outcomes not achieved as intended in FBC.</li> <li>Increased AME Costs due to higher Fraud &amp; Error</li> <li>The benefits and savings agreed in the FBC may not be realised.</li> <li>Resulting in significant reputational damage and continued serious stakeholder concern.</li> </ul> </li> </ol> <p><b>To Note:</b> Mitigation actions to address causes 1 &amp; 2 in this risk are included in Risk P83. Cause 3 is being addressed via Operations. Cross reference with Risk P85</p>	<p><b>Risk Owner:</b> Stuart Ison  <b>Risk Action Manager:</b> Robert Webster  <b>Risk Raised:</b> 05/03/21  <b>Current Risk Rating:</b> A9 (Impact 3 x Likelihood 3)  <b>Target Risk Rating:</b> AG3 (Impact 3 x Likelihood 1)  <b>Target Date:</b> Dec 24  <b>Impact Date:</b> 2024/25</p> <p style="text-align: center;"><b>Expected Flight Path</b></p> <table border="1" style="margin-left: auto; margin-right: auto;"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Period</th> <th>Rating</th> </tr> </thead> <tbody> <tr><td>Jan - Mar 22</td><td>9</td></tr> <tr><td>Apr - Jun 22</td><td>9</td></tr> <tr><td>Jul - Sept 22</td><td>9</td></tr> <tr><td>Oct - Dec 22</td><td>9</td></tr> <tr><td>Jan - Mar 23</td><td>6</td></tr> <tr><td>Apr - Jun 23</td><td>6</td></tr> <tr><td>Jul - Sept 23</td><td>6</td></tr> <tr><td>Oct - Dec 23</td><td>6</td></tr> <tr><td>Jan - Mar 24</td><td>6</td></tr> <tr><td>Apr - Jun 24</td><td>6</td></tr> <tr><td>Jul - Sept 24</td><td>6</td></tr> <tr><td>Oct - Nov 24</td><td>6</td></tr> <tr><td>Dec-24</td><td>3</td></tr> </tbody> </table> <p><b>Flight Path Rationale/Changes –</b></p> <ul style="list-style-type: none"> <li>➤ <b>Jan 23</b> - Risk reduced to A6 once assured that Move to UC volume assumptions are accurate, being delivered to the agreed rollout schedule and confident can increase and maintain volumes.</li> <li>➤ <b>Dec 24</b> – Risk mitigated to AG3 once we are operating UC as per the design in the Target Operating Model, have undertaken Move to UC at increased volume and UC Operations are content to take responsibility for tracking the benefits associated with the Business Case.</li> </ul>	Period	Rating	Jan - Mar 22	9	Apr - Jun 22	9	Jul - Sept 22	9	Oct - Dec 22	9	Jan - Mar 23	6	Apr - Jun 23	6	Jul - Sept 23	6	Oct - Dec 23	6	Jan - Mar 24	6	Apr - Jun 24	6	Jul - Sept 24	6	Oct - Nov 24	6	Dec-24	3	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>Regular reporting to PDE/PB to enable effective decision making, these include:                             <ul style="list-style-type: none"> <li>Backlog progress, UC scope Changes, Fiscal impacts (ongoing)</li> <li>Regular Benefits Realisation update at PDE/PB (26/04/22)</li> </ul> </li> <li>Developing a UCFS baseline from which to measure future Labour Market performance:                             <ul style="list-style-type: none"> <li>JSA type lone parent claimants (2022)</li> <li>ESA WRAG cases (2023)</li> <li>An in-work group (tbc)</li> </ul> </li> <li>HMT Drawdown (01/04/22)</li> <li>Commence Move to UC Scaling providing assurance that processes are fully functioning and the Programme is delivering significantly increased claimant volumes (Jan 23)</li> <li>Complete Move to UC (Dec 24)</li> <li>MVFE reduction plan complete (2026/27)</li> <li>Cleanse UC stock – funded via SR bid (2026/27)</li> <li>Develop contribution and impact wider proposals to support further fiscal events. (ongoing)</li> <li>Financial cost updates to HMT (Quarterly)</li> <li>Handover Benefits to Business as Usual (tbc)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>Confirmation of Labour Market operational priorities for 21/22 have been agreed</li> <li>Contribution to Mar 21 Budget proposals completed</li> <li>HMT Drawdown (01/04/21 to 31/03/22) completed</li> <li>Exploration of the use of Labour Market indicator data to consolidate Labour Market operational outputs</li> <li>Commencement of work on the next SR round and first submission completed (w/c 26/07/21)</li> <li>Completion of SR and submitted to HMT (w/c 13/09/21)</li> <li>UCFS baseline for JSA equivalent cases complete (21/09/21)</li> <li>Outcome of SR confirmed by HMT (27/10/21)</li> <li>Financial cost update to HMT (01/12/21)</li> </ol>
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Jan - Mar 24	6																													
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Oct - Nov 24	6																													
Dec-24	3																													

## D01 Key Dependent Systems

Risk	Risk Details	Mitigations Planned/Completed														
<p><b>Description :</b> The inability of key dependent systems (e.g. CIS) to meet critical performance needs alongside UC expansion may result in disruption to UC service delivery and result in the failure to achieve the required business case outcomes.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>1. UC Programme and Digital Group strategic plans do not align and/or may conflict.</li> <li>2. Dependent system(s) inability to meet critical performance, resilience &amp; scaling needs in line with UC service expansion.</li> <li>3. Performance issues with legacy data MI solution taking up resource and time away from strategic solution.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>a. Business Case outcomes not achieved.</li> <li>b. Disruption to UC service delivery i.e. slow running or loss of UC to claimants &amp; agents.</li> <li>c. Incorrect payments to claimants.</li> <li>d. Reputational damage to UC/Department</li> </ol>	<p><b>Risk Owner:</b> Paul Francis  <b>Risk Action Manager:</b> S40  <b>Risk Raised:</b> 05/03/21  <b>Current Risk Rating:</b> A9 (Impact 3 x Likelihood 3)  <b>Target Risk Rating:</b> AG3 (Impact 3 x Likelihood 1)  <b>Target Date:</b> May 22  <b>Impact Date:</b> Jun 22</p> <p style="text-align: center;"><b>Expected Flight Path</b></p>  <table border="1" style="margin-left: auto; margin-right: auto;"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Month</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Jan-22</td> <td>9</td> </tr> <tr> <td>Feb-22</td> <td>9</td> </tr> <tr> <td>Mar-22</td> <td>9</td> </tr> <tr> <td>Apr-22</td> <td>9</td> </tr> <tr> <td>May-22</td> <td>9</td> </tr> <tr> <td>Jun-22</td> <td>3</td> </tr> </tbody> </table> <p><b>Flight Path Rationale/Changes</b></p> <ul style="list-style-type: none"> <li>➤ <b>Jun 22</b> - Risk reduced to Target Rating AG3 once the mitigation regarding Deletion of historic data is complete.</li> </ul>	Month	Risk Rating	Jan-22	9	Feb-22	9	Mar-22	9	Apr-22	9	May-22	9	Jun-22	3	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>1) Deletion of historic data (phases 1 &amp; 2) (31/05/22)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>a) Enhance CPS tactical Faster Payment (continuous improvement) handling capability:             <ul style="list-style-type: none"> <li>➤ Availability of additional bank accounts (10/02/21)</li> <li>➤ Use of additional accounts for payment peaks / throttling between CPS and NatWest (26/02/21).</li> </ul> </li> <li>b) Tactical Payment solution delivered (Feb 21)</li> <li>c) Dual running of the Crown hosted Dataworks platform and AWS platform, which is using the Kafka streaming solution.</li> <li>d) UC Agent access network integration move from SDX pattern 1 (legacy) to pattern 2 (strategic) to provide increased stability.             <ul style="list-style-type: none"> <li>• Stage to SDX – testing from 06/01/22</li> <li>• Prod to SDX – testing from w/c 17/01/22</li> </ul> </li> <li>e) Dependency on Crown Dataworks platform removed to allow historic data to be deleted from the live UC database.</li> <li>f) Deletion of historic data commenced (Dec 21)</li> <li>g) UC Agent access network integration move from SDX pattern 1 (legacy) to pattern 2 (strategic) to provide increased stability Go-Live (02/02/22).</li> </ol>
Month	Risk Rating															
Jan-22	9															
Feb-22	9															
Mar-22	9															
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Jun-22	3															

## D03 Product Developer Capacity/Capability for Move to UC

Risk	Risk Details	Mitigations Planned/Completed												
<p><b>Description:</b> Current product development teams (Digital &amp; M2UC Programme teams) are fully committed. Retaining the existing teams and skill levels alongside increasing capacity/capability quickly enough to meet the resource demands required for the M2UC Discovery and Scaling Phases may not be possible, consequently delaying progress and impacting the Programme's completion timescales.</p> <p><b>Causes:</b></p> <ol style="list-style-type: none"> <li>1. Java Developers attrition rate is greater than our ability to recruit</li> <li>2. Competition for Java software Developers is fierce and engineers are in high demand leading to short supply</li> <li>3. Cabinet Office controls, to restrict use of contingent labour (introduced 01/11/21) may impact our ability to recruit/retain contingent labour</li> <li>4. Unscheduled requests to make changes to the UC service (including GOV.UK content, work coach instructions or Jobcentre process) that may require additional support during the Voluntary Phase in 2021/22.</li> </ol> <p><b>Consequences:</b></p> <ol style="list-style-type: none"> <li>a. M2UC timescales will not be met e.g. moving people at scale couldn't commence in 2023 as planned.</li> </ol>	<p><b>Risk Owner:</b> Paul Francis  <b>Risk Action Manager:</b> <span style="background-color: black; color: white; padding: 2px;">S40</span>  <b>Risk Raised:</b> Jun 21  <b>Current Risk Rating:</b> A8 (Impact 4, Likelihood 2)  <b>Target Risk Rating:</b> AG3 (Impact 3, Likelihood 1)  <b>Target Date:</b> Mar 22  <b>Impact Date:</b> Apr 22</p> <p style="text-align: center;"><b>Expected Flight Path</b></p> <table border="1" style="margin: 10px auto; border-collapse: collapse;"> <caption>Expected Flight Path Data</caption> <thead> <tr> <th>Month</th> <th>Risk Rating</th> </tr> </thead> <tbody> <tr> <td>Dec-21</td> <td>8</td> </tr> <tr> <td>Jan-22</td> <td>8</td> </tr> <tr> <td>Feb-22</td> <td>6</td> </tr> <tr> <td>Mar-22</td> <td>6</td> </tr> <tr> <td>Apr-22</td> <td>3</td> </tr> </tbody> </table> <p><b>Flight Path Rationale/Changes</b></p> <ul style="list-style-type: none"> <li>➤ <b>Feb 22</b> – Risk reduced to A6 once we are content that sufficient numbers have been recruited to meet resource requirements to commence Discovery Phase.</li> <li>➤ <b>Apr 22</b> – Risk mitigated once we are content via the mid-phase stock take that we have sufficient numbers of Developers in situ.</li> </ul>	Month	Risk Rating	Dec-21	8	Jan-22	8	Feb-22	6	Mar-22	6	Apr-22	3	<p><b>Planned:</b></p> <ol style="list-style-type: none"> <li>1) Pursuing all avenues and available commercial routes, including IBM, MadeTech and TCS. (ongoing)</li> <li>2) Outcome from Mid-Phase stock take to be presented to PB (15/03/22)</li> </ol> <p><b>Completed:</b></p> <ol style="list-style-type: none"> <li>a) A recruitment specialist from BPDS has been engaged to focus on managing the recruitment process supported by three additional staff who have joined from BPDS.</li> <li>b) ADRO contracts are in place have met with suppliers to determine whether they could provide appropriate resource.</li> <li>c) Initiated daily meetings with AMS and have met with each of their six agencies to ensure the agencies are clear on our requirements.</li> <li>d) 25 additional resources brought in through PSR, another 14 joining UC from other projects or scheduled to return from maternity leave.</li> <li>e) DOS5 tender - successful supplier contract awarded (Nov 21)</li> <li>f) Statement of Work (SOW) with the selected vendor (08/11/21)</li> <li>g) Monitoring of the Workforce Planning Document to ensure sufficient resource numbers with the required skills and capability are retained as we progress through Discovery and Scaling Phase (28/02/22).</li> <li>h) Mid-phase stock take (02/03/22)</li> </ol>
Month	Risk Rating													
Dec-21	8													
Jan-22	8													
Feb-22	6													
Mar-22	6													
Apr-22	3													

## Annex 6: UC Programme Risk Management Methodology

# UC Risk Management Methodology

## UC Programme Risk Management and Governance

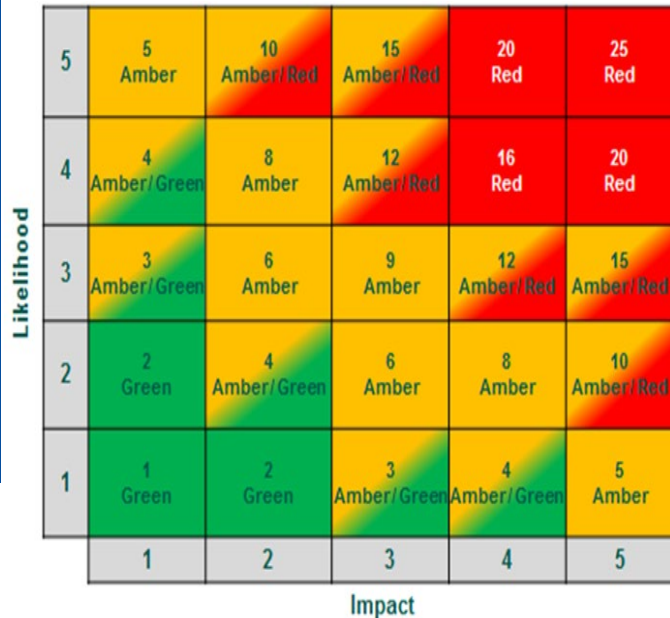
- All Programme Risks are live and current and are consistently reviewed with Risk Owners (Strand Directors) and Risk Action Managers (RAMs). These discussions also aid in the identification of any new Risks along with any Strand Level Risks which need to be escalated. When appropriate, these are supported by the SRO and relevant Risk Boards to decide on the best course of action to treat a Risk.
- All UC Programme risks at either Strand Level or a Programme Level are recorded on the UC Programme Risk Hub. Risks are managed through the existing UC Programme governance structure from team level within strands right up to Executive Team (ET) level, in line with Departmental Risk Management standards. In addition, the Planning and Risk Team work closely with Risk Management Division to ensure that Risk Management processes are working effectively for the UC Programme.
- Current Ratings and Target Ratings are linked to the achievement of planning milestones, key deliverables, or essential delivery requirements e.g. Phase outcomes, resource requirements.
- UC Programme Level Risks are defined as those that affect one or more strands of the Programme and if materialised could have an impact upon the whole Programme. All Programme Risks are reported to the Programme Delivery Executive (PDE) on a monthly basis. The top Programme Level Risks are also reported to Programme Board on a monthly basis.

## Risk Assurance

- To provide confidence on the effectiveness of Risk Management across the UC Programme, all Programme and Strand Risks (which could impact on baseline costs, delivery schedule and the scope of the Programme) are regularly reviewed as part of the Risk Assurance structures.
- As part of the Risk Assurance process the Programme Risk Manager conducts Risk discussions with UC Directors (Risk Owners) and RAMs to review the Risks they currently own and manage. Evidence provided for each Risk is constructively challenged to provide assurance that the Programme is focussing on the right Risks with the right mitigation activities, and that they are on track to reduce the threat level to within the Programme's Risk Appetite.

# Risk Rating Guidance

Impact Rating	Performance / Customer Service / Scope / Quality	Reputation	Cost / Schedule*
5 <b>Very High</b> Should be addressed by management within days or monitored as required	Significant impact on achievement of aims/objectives. Scope of Phase output is not meeting business requirements. Prevents continuing with "business as usual". Critical failure to achieve targets/objectives. Long term effect & difficult and/or expensive to recover.	Prolonged internal attention (including corporate) with local & national media coverage. Substantial reputation damage. Serious stakeholder concern.	>20% increase in cost. <b>Slippage of Level 0 Milestones</b> Massive equipment loss. Massive increase in headcount, staff related costs, estates or IT. National Audit Office qualifies the UC accounts. Serious fraud, corruption or irregularity.
4 <b>High</b> Requires major effort to respond within a week	Major impact on the achievement of aims/objectives. Scope Reduction unacceptable to Stakeholders. Significant damage to ability to continue "business as usual". Major failure to achieve targets/objectives. Medium to long term effect & difficult &/or expensive to recover	Prolonged internal attention with brief local media coverage. Significant reputation damage. Significant stakeholder concern.	10-20% increase in cost. <b>Slippage of Level 1 Milestones</b> Substantial equipment loss. Substantial increase in headcount, staff related costs, estates or IT. National Audit Office Management Letter. Moderate fraud, corruption or irregularity.
3 <b>Medium</b> Requires some immediate resource commitment to respond within 2 weeks	Moderate impact on the achievement of aims/objectives. Major areas of scope affected. Moderate damage to ability to continue "business as usual". Some failure to achieve targets/objectives. Medium term effect which may be difficult &/or expensive to recover.	Attention within DWP, no media coverage. Some reputation damage. Moderate stakeholder concern.	5-10% increase in cost. <b>Slippage of Level 2 Milestones</b> National Audit Office Comment on the Accounts. Some fraud, corruption or irregularity. Moderate increase in headcount, staff related costs, estates or IT.
2 <b>Low</b> Requires some non-urgent resource commitment to respond within 1 month	Minor impact on the achievement of aims/objectives. Minor areas of scope affected. Short term site/operational problem. Manageable inconveniences to "business as usual". Minor pressure on targets/objectives. Short to medium term effect.	Contained within the Programme. Minor reputation damage. Minor stakeholder concern	<5% increase in cost. <b>Slippage of Level 3 Milestones</b> Small increase in headcount, staff related costs, estates or IT
1 <b>Very Low</b> Requires some non-urgent resource commitment to respond within 2 months	No/minimal impact on the achievement of aims/objectives. Scope not affected or very minor change which is acceptable to Stakeholders. Minor business impact or interruption. Does not damage ability to continue "business as usual". No impact on the achievement of targets/objectives. Minor or no effect.	Contained within the Strand. No/minimal stakeholder concern.	Nil Cost Increase. <b>No Schedule Slippage.</b> No or insignificant impact on headcount, staff related costs, estates or IT.



Likelihood Rating	Definition	Estimated Likelihood	Lessons Learned
5 <b>Very High</b>	Very likely. This event may be imminent or strong indications that this will occur in the future. Not confident risk can be managed at this level and contingency is required.	<b>More than 80% chance of occurring</b>	A regular occurrence, circumstances found frequently
4 <b>High</b>	This event is likely to occur in most circumstances. Requires additional mitigation / contingency. Little confidence risk can be managed at this level.	<b>51 – 80% chance of occurring</b>	Has occurred from time to time & may do so again in the future
3 <b>Medium</b>	This event is likely to occur at sometimes even if controls operate normally. Confident risk can be managed at this level.	<b>21 – 50% chance of occurring</b>	Has occurred previously but not often & may have been in a limited way.
2 <b>Low</b>	Not expected, this event has a small chance of occurring at some times	<b>6 – 20% chance of occurring</b>	Has not happened, or happened in a very limited way.
1 <b>Very Low</b>	Highly unlikely, will occur only in very exceptional circumstances. Very confident risk can be managed at this level. Controls operate normally.	<b>Less than a 5% chance of occurring</b>	Has rarely/never happened.