

Official Sensitive

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To: UC Programme Board
From: Will Garner
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Date: 15 November 2022

Scaling Universal Credit Managed Migration Entry Criteria update

This paper provides a readiness status report for scaling Universal Credit Managed Migration based on previously agreed Readiness Criteria.

Recommendation / Decisions Required: Programme Board to note the status of the criteria

Timing: Routine – for information

Background

1. Programme Board have requested that we provide a monthly update on the status of our readiness to scale the Managed Migration service based on previously agreed Entry Criteria. For your information we have attached to this paper the latest status assessment.
2. Following the Programme Board decision in July to focus on the migration of Tax Credit claimants next year the criteria have been reviewed with HMRC to ensure they are fit for purpose.
3. In assessing readiness, we have employed the IPA rating standards - appended to the paper for information. Discovery commenced with testing of the Earliest Testable Service in Bolton and Medway 9th May and subsequently extended to Cornwall, Harrow and Northumberland and therefore these assessments should be seen in that context with some criteria not considered applicable at this stage.
4. We have made clear which elements we have started to work towards readiness and which we have not yet started yet and therefore not rated. As we learn and progress through Discovery and enter into the Scaling Planning Phase ahead of increasing the volume of migrations through 2020 we will be able to undertake complete detailed readiness assessments, iterating and expanding the criteria as we unearth issues and risks and drive the delivery through go to green planning to keep us on track.
5. This is the process that we employed successfully in the national roll out of Universal credit

Summary

6. The Programme Board are asked to note the current readiness assessment, noting that:
- a. Areas relating to key process design and build areas are rated Amber. This reflects the design complexity of the initial no claims process, the scale of effort that has been required to reach that agreed design and the frequent design changes that have been pushed into the product team. The knock-on impact of this has slowed our ability to consolidate learning, run further tests and include other groups that are currently deferred in the scope of discovery. With this in mind our focus through the remainder of the Discovery Phase will be to stabilise the service ahead of scaling Tax Credits only, simplifying key processes so that the move service is more manageable for agents to operate, minimises the risk of error, and supports consistently bringing more people into the journey.
 - b. Areas relating to capacity planning and implementation are rated Amber/Red. This reflects that focus on the Autumn budget has delayed some forecasting and modelling activities which has in turn impacted the planning for capacity and operating model design. Capacity in the UC network exists to support delivery to end of May 2023, but a delivery model for this is yet to be agreed. The approach to capacity beyond May is being reviewed in November and will be agreed with Capacity Board by January 2023.
 - c. Remediation for the Amber/Red is underway with workshops this month (November 2022) to plan capacity needed against expected service design in order to agree the capacity model through governance by January 2023. Increased visibility of readiness to be introduced to governance boards to ensure the necessary focus on these activities.

Appendix – IPA Ratings



Successful delivery **appears to be unachievable**. There are major issues on definition, schedule, budget required quality or benefits delivery, which at this stage do not appear to be manageable or resolvable. There may need re-baselining and/or overall viability re-assessed



Successful delivery **is in doubt** with major risks or issues apparent in a number of key areas. Urgent action is needed to ensure these are addressed, and whether resolution is feasible



Successful delivery **appears feasible** but significant issues already exist requiring management attention. These appear resolvable at this stage and if addressed promptly, should not present a cost/schedule overrun



Successful delivery **appears probable** however constant attention will be needed to ensure risks do not materialise into major issues threatening delivery



Successful delivery **appears highly likely** and there are no major outstanding issues that at this stage appear to threaten delivery significantly

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	RAG	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, IT functionality and processes to do this. (N.B. the processes and supporting data needs will be defined during Discovery.) 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. 	Amber	<p>In scope – this learning will be informed through Discovery testing. Testing of the earliest testable service commenced as planned in Bolton and Medway 09/05 and expanded to Cornwall on 25 July, Harrow on 16 August and Northumberland 13 Sept. We have started to send more migration notices on a weekly basis now.</p> <ul style="list-style-type: none"> Deferral and exclusions have been agreed. Claimants who are part of a couple are currently being excluded and therefore have descope Housing Benefit only claimants from the earliest testable service to ensure couples are not brought into the test. Approach established and guidance completed to manage the selection of claimants across legacy benefit combinations. Learning is being harnessed regarding data quality and the streamlining of processes for the selection of claimants to support learning, identifying improvements and risks, and prioritising work to deliver these processes at increasing scale. Tests to date have included using a different Migration Notice and varying the timing, type and number of reminders and testing with Tax Credit only cohorts. Work has been undertaken to improve the data mis-match rate between data sources to make selection simpler for agents. Match rate is now over 90% for most recent cohorts of single claimants. Options agreed with HMRC for supply of data for selection. HMRC now engaging suppliers with a forecast date for delivery of late November with testing to subsequently be undertaken.

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					<ul style="list-style-type: none"> We have over 1860 claimants in the journey with the focus for the next stage of Discovery is to stabilise the service. This will enable us to simultaneously bring more people into the journey and reduce error rates and is the first step in being able to scale. Key areas to be addressed will be; <ul style="list-style-type: none"> ➤ There are a number of process errors across the Move service, in part caused by manual processes supported by clerical tools ➤ Claimant circumstances present challenges in how to apply the policy and regulations, particularly around the calculation of the transitional element ➤ The current no claims journey is incredibly complex to implement and operate, with processes spanning across multiple service delivery teams in the department. <p>The focus through the first quarter of 2023 will subsequently be to focus on improving efficiency of the service and increasing the percentage of notified people that claim by their deadline date in preparation for scaling the service to more people.</p>
		<ul style="list-style-type: none"> Claimants who trust online channels and 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. We can identify and support those who require additional help to make their claim and throughout their UC journey 	Amber	<p>In scope – this learning will be informed through testing with claimants during Discovery.</p> <ul style="list-style-type: none"> Testing of the Earliest Testable Service (ETS) commenced as planned which initially uses clerical processes to identify where claimants are in the journey. Over 1860 single claimants have been notified with over 1270 having made a claim across all cohorts. Tests are being conducted with different migration notice content, different reminders, different places and specific claimant groups (Tax Credit only). Whilst the response rate for the ETS is positive and encouraging the rate for tax credit only claimants is lower and we have yet to test with claimants who are part of a couple.

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					<ul style="list-style-type: none"> We are conducting research with people that have received their migration notice and are contacting claimants who have not claimed to understand their barriers and help them make a claim. Ipsos Mori have also provided insight to claimant attitudes. Significant design and planning work has taken place to ensure claimants, particularly those with identified support requirements, are afforded all relevant assistance to make a claim including arranging home visits where appropriate. Telephony helpline themes consistently about how to make a claim (including following termination of their legacy benefit entitlement), assistance with making a non-digital claim and from people who have circumstances that require additional support. Claim by phone rate for move to UC claimants is currently higher than UC average.
		<ul style="list-style-type: none"> Claimants being paid the right amount on time 	<ul style="list-style-type: none"> We can 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 	Amber	<p>In scope - learning will be informed through testing with claimants to identify payment timeliness and accuracy for claimants who have been migrated.</p> <ul style="list-style-type: none"> Earliest Testable Service processes for identifying whether a claimant is eligible for transitional protection in place. Initial testing will be supported by largely clerical based processes with supporting agent instruction. Calculation of the transitional element is automated with manual data gather and manual assurance processes in place. Transitional Element calculations for the first claims have been completed by the end of first AP. Capability to erode the transitional element in place along with UC statement changes to include transitional element. Approaches for data gather from HMRC, DWP Legacy and LAs agreed. Path to automation of HMRC data transfer for TE data is understood with a series of workshops held to agree

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					<p>roadmap. Delays to agreeing key HMRC specifications are impacting expected delivery dates for this work.</p> <ul style="list-style-type: none"> Current quality checking processes have identified improvements that are required to stabilise the service and reduce the level of clerical activity prior to scaling. These are now underway.
		<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 	Amber/Red	<p>This learning will be informed through discovery with testing of the earliest testable service commencing as planned in Bolton and Medway 09/05 and successfully expanded to further JCPs in Truro & Falmouth 26/07, Harrow 16/08 and Northumberland 13/09.</p> <p>Capacity exists within the existing UC network to support delivery to expected volumes of claimants up to the end of May 2023. Capacity beyond that is subject to further demand planning and agreement at Capacity Board. Remediation is underway with workshops being held this month (November 2022) to plan capacity needed against expected service design in order to agree the capacity model through governance by January 2023.</p> <p>Agreement to the operating model design for move to UC service delivery is required by November 2022 to inform implementation plans, capacity plans and service design. Internal communications issued to DWP colleagues to confirm the restart of move to UC with communication plan being delivered and products being shared with Ministers.</p> <ul style="list-style-type: none"> HMRC communications issued to HMRC colleagues and lines to take in place to support contact. Data being gathered as part of the process to identify the activities and knowledge needed and identify needs for agents supporting the service, such as being able to identify move to

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					<p>UC work and prioritise against other case management activity.</p> <ul style="list-style-type: none"> • We are receiving call analysis now from calls to the helpline to help identify learning needs / skills for Move to UC case managers. • We have trained further agents to support move to UC and now have 20 agents in Bolton Service Centre with the intention to expand to a further service centre early in the new year. • Have started to discuss the key needs for an operating model. Expect new Move to UC Operations Director who took up post 14/11 will inform final model design. • The focus for the next stage of Discovery is to stabilise the service. This will enable us to simultaneously bring more people into the journey and reduce error rates and is the first step in being able to scale. Efforts will be targeted at improving and simplifying complex processes which will support staff and reduce errors.
		<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. 	Amber	<p>In scope to ensure this continues to work as now as we test managed moves with claimants at increasing volumes including:</p> <ul style="list-style-type: none"> • Utilising existing stop notice functionality for claimants who successfully claim UC. • Design for automated notification of a termination when no claim made between DWP & HMRC agreed. • We are contacting people that have not claimed to identify why they have not claimed and to provide support back onto the journey. We have terminated some legacy claims where claimants have contacted us and confirmed they will not be claiming UC.

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			<ul style="list-style-type: none"> We have a process for backdating claims and providing transitional protection where eligible 		<ul style="list-style-type: none"> 83 claimants who have not made a claim to UC have now had their legacy benefit entitlement terminated. Enhanced support processes are in place as part of the no claim journey for those claimants with identified additional support requirements including arranging home visits for them. 26 of the 83 claimants have subsequently applied within one month after their deadline date and have had their claim backdated. Design of the no claims process is highly complex and is a key area of focus through the next stage of Discovery as we work to stabilise the service.
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 Move to UC service design at increased volumes.	<ul style="list-style-type: none"> The existing UC service can 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 	Amber/ Green	Analysis in progress of areas of the UC service that may be impacted by the volume of claims from Move to UC. Outcome of analysis will be prioritised work for future UC phases (Phases 13 and 14).

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			<p>the increasing scale of Move to UC enabling the Programme to respond effectively to any impacts on the UC Service.</p> <ul style="list-style-type: none"> • 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"> • 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. 		No Update to report
	We understand the impacts	<ul style="list-style-type: none"> • We have consulted with UC Service 	<ul style="list-style-type: none"> • Both UC Service delivery and Legacy service lines have been 	Amber/Red	Implementation activity has been undertaken at the locations and with the business units impacted by the commencement of

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3. Legacy & People	undertaking Move to UC at scale through to completion will have on UC Service Delivery, Legacy Service Lines and Delivery Partners.	Delivery and Legacy Service Lines and understand the impacts our anticipated scaling will have on them and their people.	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).		<p>testing. Local communications have been issued and we have continued engagement with Bolton, Medway, Truro & Falmouth, Harrow and Northumberland Local Authorities and will continue to work with impacted delivery units and partners, in particular HMRC, in preparation for the scaling of Tax Credit migrations in 2023.</p> <p>Capacity exists within the existing UC network to support delivery to expected volumes of claimants up to the end of May 2023. Capacity beyond that is subject to further demand planning and agreement at Capacity Board. Remediation is underway with workshops being held this month (November 2022) to plan capacity needed against expected service design in order to agree the capacity model through governance by January 2023.</p> <p>Agreement to the operating model design for move to UC service delivery is required by November 2022 to inform implementation plans, capacity plans and service design.</p> <p>Analysis is in progress of areas of legacy service lines and partners that may be impacted by the volume of claims from moves to UC.</p>
			<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. 	Amber/Green	Communications products are developed to support any increase in volumes in existing sites.
			<ul style="list-style-type: none"> Leadership products and support are in place to support the increase in claimant volumes. 		No Update to report
			<ul style="list-style-type: none"> The early guidance and Universal Learning developed during the Discovery Phase are ready as we begin to increase 		No Update to report

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			volumes and we are prepared to iterate these as we continue.		
			<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. 		No Update to report
			<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. 		No Update to report
			<ul style="list-style-type: none"> We can harness staff and stakeholder feedback to support continuous improvement and backlog prioritisation 		No Update to report
			<ul style="list-style-type: none"> We know what work is needed within a given area to create good conditions for success. 		No Update to report
		<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. 		No Update to report
		<ul style="list-style-type: none"> We have consulted with Delivery Partners and stakeholders and 	<ul style="list-style-type: none"> Our delivery partners have confirmed they are ready and 	Amber /Green	Our delivery partners, and in particular HMRC are involved in design & delivery of the Discovery phase and we will learn and plan together the impacts of future scaling plans.

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		understand the impacts our anticipated scaling will have on them and their people.	<p>able to discharge any duties they may have at increasing scale.</p> <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. • 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. • We know what work is needed with local partners in a given location to create good conditions for success. 	<p></p> <p>Amber /Green</p> <p>Amber /Green</p> <p></p>	<p>Communications products are developed to support the increase in volumes in existing sites, working closely with our delivery partners including HMRC to do this.</p> <p>As above</p> <p>No Update to report</p>
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. 	Amber /Green	<p>Secure design is an embedded part of the product development teams for Universal Credit, supporting a secure by design approach to adherence to good practice and necessary DWP standards.</p> <p>The necessary compliance products have been provided for the ETS and will continue to be reviewed and updated throughout Discovery as the service iterates towards being ready to start scaling.</p> <p>UC RAC processes are being followed to identify and manage security risk alongside evolution of the service.</p>

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			<ul style="list-style-type: none"> • 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) 		
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. 	Amber /Green	Work underway to reset the MtUC cost Model to enable affordability analysis to be undertaken on an ongoing basis as we continue testing with a more informed view to be available by end of November.
			<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. 		No Update to report

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		<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 drawdown is available to the programme. 		No Update to report