UC

UC Programme Risks and Issue

Programme Board 21 March 23

Annexes

UCPB210323 – Paper 3 Annex

UC

Annexe 1: Trend Status of Programme Level Issue and Risks

Trend Status: Programme Level Issue and Top UC Risks

Issue Description	Strand & Issue Owner	Rating	Objective Date	Objective
P05 – UC Java Developer Recruitment & Retention The recruitment of Java Developers (JDs) in a rapidly changing market has become problematic. Fierce competition, high demand and a limited supply of skilled resource is currently impacting our ability to recruit and retain enough JDs to change/maintain the UC Core digital service and may impact our capacity to scale and migrate Legacy claimants through Move to UC.	Digital Paul Francis	**Major**	Undetermined due to the unpredictability of staff turnover	The primary aim is to secure and retain sufficient permanent JDs, reducing our reliance on contingent labour. The ambition is to have enough permanent JDs in situ so that UC will be able to: maintain the digital service in its current state; scale Move to UC; deliver new functionality that the Programme has committed to; and maintain the security/availability of the UC service. However, it is accepted that rapidly changing work demands will always necessitate the use of some contingent labour. For immediate aims see the full Issue template.

Risk Description	Strand & Risk Owner	Current Rating (I x L)	Target Rating (I x L)	Impact Date	RAG Status Jan 23	RAG Status Feb 23	RAG Status Mar 23
P90 Move to UC – Scope and Delivery by December 2024 Unforeseen changes to the Scope or Design of the UC Service, competing demands on the UC Programme Product Teams or on Operational resources may create an unstable environment in which to deliver MtUC, preventing the successful migration of in-scope claimants to UC by Dec 24.	Stakeholder Engagement; and Strategic Briefing Stuart Ison	**AR12** (I4 x L3)	**G1**	Jan 25	NEW	↔	↔
P85 Fraud and Error Benefits Realisation Without the successful completion of the MVFE reduction plan the levels of MVFE and the corresponding benefits stated in the UC FBC including MVFE savings by 2026/2027 will not be achieved.	Move to UC Will Garner	**R16** (I4 x L4)	**AG4** (I4 x L1)	Apr 27	↔	↔	↔
P87 Targeted Case Review Successful delivery of TCR objectives relies on a combination of staffing levels, agent productivity, hit rate and sufficient average AME / MVFE change being identified per case. Should any of these four factors be less than forecast we may be unable to deliver the projected overall AME / MVFE change, leading to TCR AME / MVFE targets not being realised and a failure to deliver a contribution to UC Business Case outcomes.	Targeted Case Review Will Garner	**R16** (I4 x L4)	**AR12** (I4 x L3)	Apr 25	↔	↔	↑
P88 Move to UC – Discovery Testing (in-scope Legacy Benefit Claimants) Delays in Scaling of TC only cases may limit the time and/or people (Product Teams) available to Design and/or undertake Discovery Testing for in-scope legacy (exc. ESA & ESA+HB) claimants which may impact our learning capacity and readiness to commence scaling of the remaining cohorts.	Move to UC Will Garner	**AR12** (I4 x L3)	**AG4** (I4 x L1)	Apr 24	↔	↔	↔

Annexe 2: Summary Position of Programme Risks

Summary Position of Programme Risks at March 23

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.

Since presenting the last Risk review position, we have closed three Programme risks and raised one new risk. At Strand Level we have closed two risks and raised one new risk.
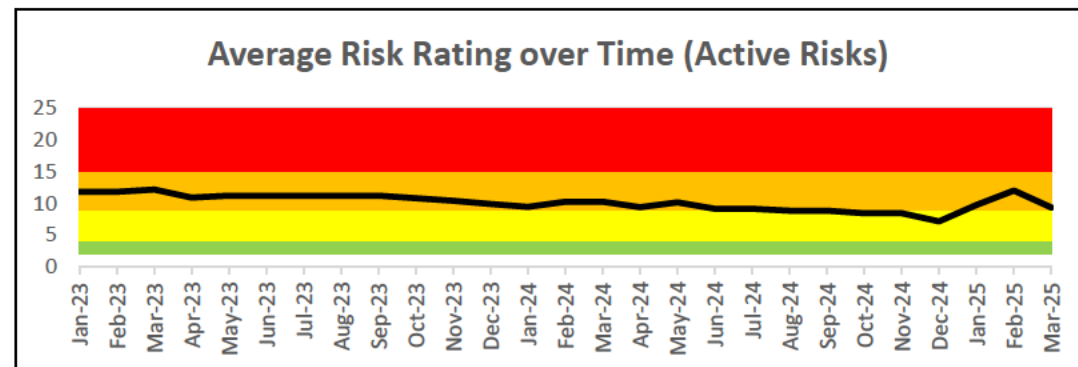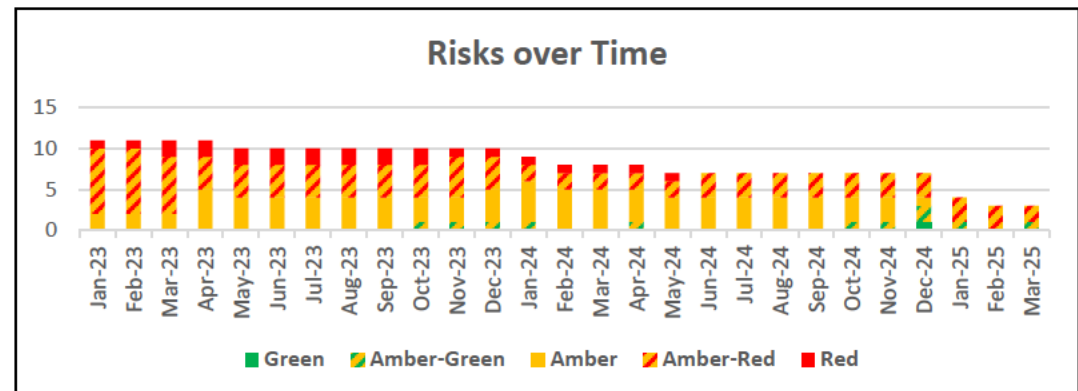
Likelihood		1	2	3	4	5
	5	0	0	0	0	0
	4	0	0	1	2	0
	3	0	0	2	6	0
	2	0	0	0	0	0
	1	0	0	0	0	0
		1	**2**	**3**	**4**	**5**
				Impact		

An aggregate flightpath has been generated by counting the number of active Risks in each RAG rating category on a month-by month basis.

Since we last reported the 'Risks over Time' the overall rating position has been relatively stable. The trend still shows that the level of Risk continues to drop steadily over time and is as low as possible by the end of the programme in Dec 24.

Risks over Time

Legend: ■ Green ▨ Amber-Green ■ Amber ▨ Amber-Red ■ Red

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.

The 'Average Risk Rating over Time (Active Risks)' remains largely in line with that reported last time.

Average Risk Rating over Time (Active Risks)

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.

UC

Annexe 3: End to End UC Critical Path with Risk & Key Dependencies Overlay

UC Programme E2E Critical Path with Risk and Key Dependencies Overlay - March 2023

UC
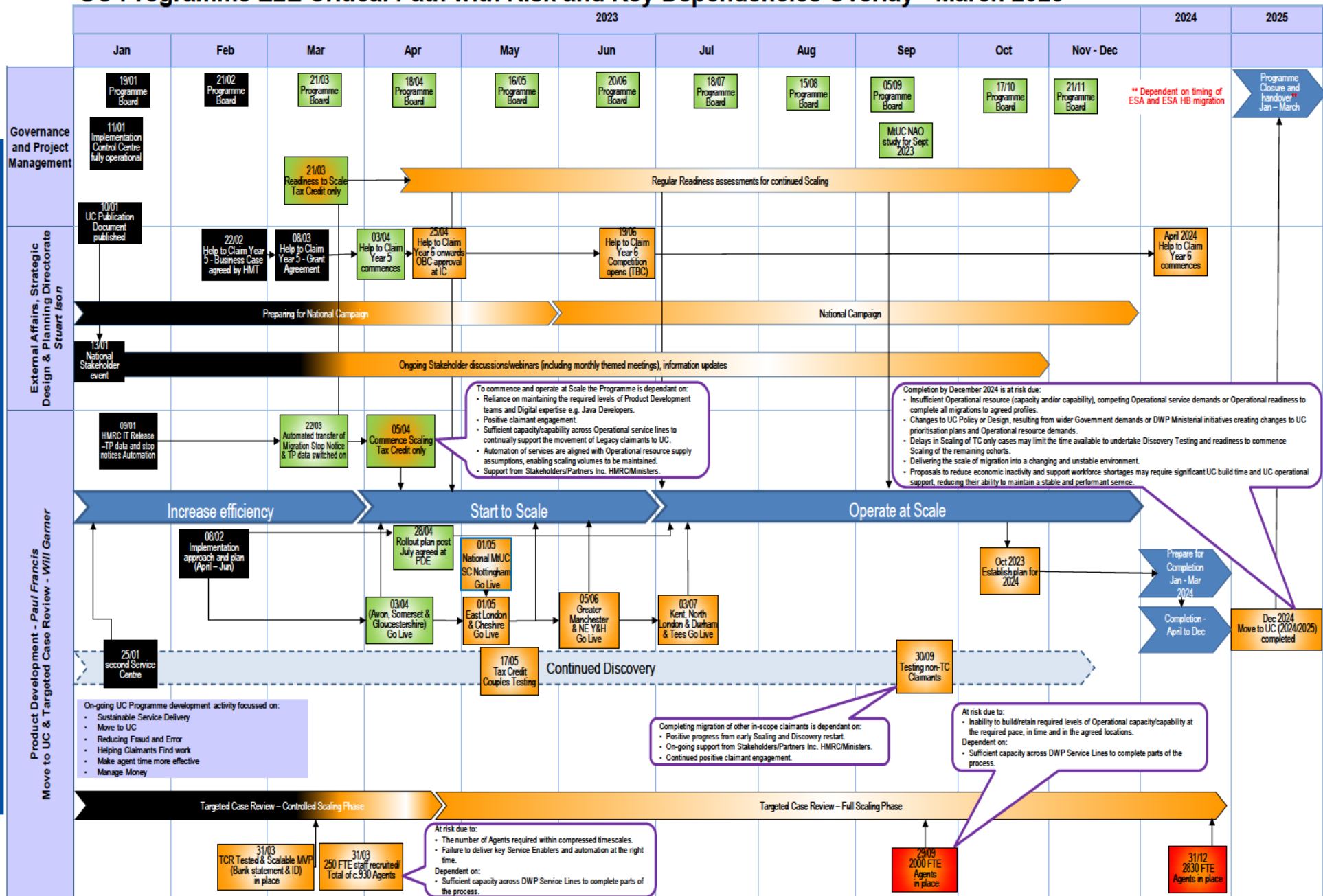
Annexe 4: Programme Board level Issue and Risk

- ➢ P05 UC Java Developer Recruitment & Retention
- ➢ P90 Move to UC – Scope and Delivery by December 2024

P05 UC Java Developer Recruitment & Retention

UC

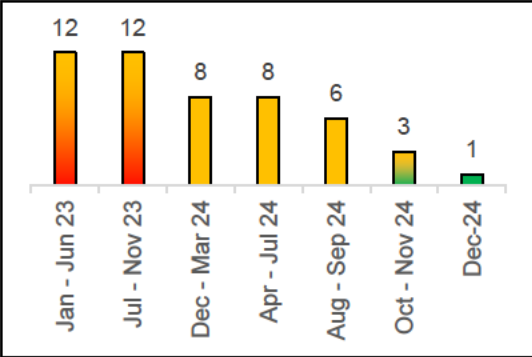| Issue Details	Background and Impact	Supporting information / Latest Information

Issue Owner: Paul Francis
Issue Manager: Chris Thorn
 	
Issue:
The recruitment of Java Developers (JDs) in a rapidly changing market has become problematic. Fierce competition, high demand and a limited supply of skilled resource is currently impacting our ability to recruit and retain enough JDs to change/maintain the UC Core digital service and may impact our capacity to scale and migrate Legacy claimants through Move to UC.
 	
Issue Since: 15/03/22
Objective Date:
Undetermined due to the unpredictability of staff turnover
	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. Unable to recruit permanent engineering staff, the Programme relies heavily on contractors. Contractors have been recruited, however the attrition rate remains high.
	The key barriers are:
	1) Civil service pay for Digital, Data and Technology (DDaT) roles, including JDs is uncompetitive, demonstrated by salary benchmarks, impacting our ability to attract skilled contingent labour.
	2) The combination of challenges to retain existing resource and the inability to recruit new JDs quickly enough means that we can't increase capacity as quickly as we need to meet the demands on the Programme.
	3) The highly competitive market is significantly impacting the JDs attrition rate with departures greater than our ability to recruit.
	4) DWP's office based/hybrid working unattractive to contingent labour.
	Consequential Impact
	1) Without experienced JDs:
	  • The service can not be updated, requests for new functionality can not be delivered or may have to be deferred.
	  • Without contingent labour, UC can not maintain the digital service in its current state.
	  • We may be unable to scale Move to UC if Issue worsens and we cannot prioritise resource.
	  • We may not be able to respond to changes in the external environment.
	  • Worst case scenario, we would be unable to maintain the system security.
		1) Ongoing challenge in the hiring of permanent JDs continues with limited success from the recent SEO/G7 campaigns. 1xSEO (London) and 1xG7 (Leeds) offers accepted and currently going through background checking.
		2) Further JD SEO & G7 adverts (across all hubs) are scheduled to go live in early Q1, where we are hoping to trial a new testing approach.
		3) UCWA vacancies go live w/c 13/03/23, to trial a "Test Driven Development (TDD) Skills Academy" set-up to provide upskilling opportunities for candidates that meet all other essential criteria, but who would require some development in DWP's approach to TDD, an essential Java criteria ensuring the security and quality of UC. If successful, we will widen our choice in the narrow Java market. This is not a quick fix, however, we need to assure the Programme that we can maintain the security and quality we have in UC.
		4) Discovery work being undertaken to establish if the hybrid working model is a blocker in attracting talent from the current market. To capture evidence for Capacity Board, a trial (Apr 23 tbc) will be undertaken across an existing team to prove that working remotely wouldn't effect mood / morale or productivity. Doing this will enable us to see if advertising roles remotely would help to tap into areas where currently we are not attracting people, due to hub locations (Scotland, The South West etc). Alongside this trial, Discovery work / market insight is being done to establish what other data is available to potentially provide further weight to this.
		5) Cognizant's poor performance has resulted in suspending the recruitment of further roles. We are reviewing our options at this stage and may raise some new requests once our 23/24 workforce plan becomes clearer.
		6) A new DSP tender for DevOps roles was raised, but did not attract any bids. Feedback from suppliers suggests that this is due to an overall shortage of DevOps Engineers in the marketplace.
		7) As part of our Engineering Strategy, looking into various initiatives, with the aim of improving our conversions on future permanent campaigns, including a new testing approach, practice led training academies and the potential to remove SC as a pre-requisite before joining

Issue Priority Rating	Objective
Major	The primary aim is to secure and retain sufficient permanent JDs, reducing our reliance on contingent labour. The ambition is to have enough permanent JDs in situ so that UC will be able to: maintain the digital service in its current state; scale Move to UC; deliver new functionality that the Programme has committed to; and maintain the security/availability of the UC service. However, it is accepted that rapidly changing work demands will always necessitate the use of some contingent labour.

Delivered Actions

a) Successful DSP supplier (Cognizant) was approved at CAB (29/09/22)
b) DSP contract with Cognizant signed and went live (Nov 22).
c) Onboarding Developers commenced from Digital Specialists & Programmes (DSP) procurement (Nov 22)
d) Initial request/proposal on hybrid flexibility presented to Capacity Board (Nov 22)
e) Refined proposition to Capacity Board, following conversations with DET members & PC&P colleagues (Dec 22)
f) CDDO have had their DDAT CBP Business case approved which provides new maximums (G6 – Up to £95,600, G7 – Up to £80,400, SEO – Up to £57,400).
g) CDDO contacted OGDs and now understand that the demand / challenge for Java specialists is not across government.
h) Explored (with Capacity Board) potential flexibilities to make DWP more attractive as an employer (e.g. relaxation of 40% hybrid working rule) – unable to reach agreement.

Planned Actions

1) Presentation to DET on DDAT Capability Based Pay (Mar 23)
2) Aiming to recruit a small cohort for the Proof of Concept offline development programme to allow testing of recruiting Java Candidates without TDD (Mar/Apr 23)
3) Work at a Digital Group (DG) level on short, medium and long-term initiatives to address the digital resource issue, with a focus on UC. Including:
  ➤ CDDO are content to support a further business case which evidences that all options (including non-pay related) available to DWP have been fully utilised to support the capacity of Java Engineers.
  ➤ Conversations with the HRBP and the UC DD Engineering continue regarding these options.
2) Continual improvement to UC recruitment and on-boarding processes (ongoing)
3) 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)
4) Hack events with digital engagement to attempt to attract developers into DWP (tbc)
5) Public Sector Resourcing (PSR) – calls continue providing them with real time demand updates (daily/ weekly)
6) Explore potential to increase resources with Suppliers with Digital Outcomes & Specialists contracts (BJSS) (ongoing)

Risk	Risk Details	Mitigations Planned/Completed

Description:
Unforeseen changes to the Scope or Design of the UC Service, competing demands on the UC Programme Product Teams or on Operational resources may create an unstable environment in which to deliver MtUC, preventing the successful migration of in-scope claimants to UC by Dec 24.

Causes:
1. Changes to UC Policy or Design, resulting from wider Government demands or DWP Ministerial initiatives creating changes to UC prioritisation plans and Operational resource demands.
2. Wider Departmental priorities leading to increasing or competing Operational service demands (e.g. Increasing TCR Agents, Workforce Participation, IWP) and insufficient operational capacity to deliver agreed profiles.
3. Insufficient Operational resource (capacity and/or capability) or Operational readiness to complete all migrations as set out in the scalability plan, given current levels of demand, attrition rates, recruitment timescales etc.
4. Change fatigue in Operations resulting from layering changes without sufficient opportunity to consolidate learning / delivery.
5. Planned levels of process efficiency (DWP & HMRC) may not be achieved, impacting deliverability.
6. Proposals to reduce economic inactivity and support workforce shortages may require significant UC build time and UC operational support, reducing their ability to maintain a stable and performant service.
7. Legislative requirements or Judicial Reviews / Tribunal Decisions requiring changes to UC Policy or Design.
8. Responses to external factors (e.g. further economic instability and/or a further spike in COVID-19 outbreak) may necessitate changing UC migration schedules.

Consequences:
a. The UC Programme will not successfully deliver UC as planned by Dec 24.
b. The benefits stated in the UC Business Case may not be realised as forecast resulting in excess cost and reduced savings.
c. Significant reputational damage / serious Stakeholder / Partner concern.

Risk Owner: Stuart Ison
Risk Action Manager: Mark Cousen
Risk Raised: Jan 23
Current Rating: AR12 (Impact 4 x Likelihood 3)
Target Rating: G1 (Impact 1 x Likelihood 1)
Target Date: Dec 24
Impact Date: Jan 25

Expected Flight Path

Flight Path Rationale/Changes –

➢ **Dec 23** – Risk reduced to A8 (I4 x L2) once the Readiness to move to Completion Phase has been confirmed (at PDE) and volumes are on track to safely migrate the remaining TC Only claimants.

➢ **Aug 24** – Risk reduced to A6 (I3 x L2) once the stocktake review of progress (at PDE) confirms migration of TC only claimants is complete and other in-scope claimants are on track.

➢ **Oct 24** – Risk reduced to AG3 (I3 x L1) once the final migration notices have been issued.

➢ **Dec 24** – Risk mitigated to G1 (I1 x L1) once the final completion review (at PDE/PB) confirms that all in-scope migrations are complete and handover and closure activity can commence.

To Note: Where mitigation references Readiness or stocktake assessment this includes Operational Readiness.
Some Causes and Mitigations to address this Risk are included in other Programme Risks, which are routinely cross referenced. Operational Service Delivery demands are managed at ET level via Principal Risks ET05.

Planned:
1) Resources/Recruitment for Q2 agreed:
   - Resources secured for commencing with operating at Scale (Mar 23)
   - MtUC FTE recruited per demand forecast (ongoing)
   - MtUC resource available per capacity plan (ongoing, reviewed monthly)
2) Assessment of progress against Readiness Criteria for Scaling at MtUC Sub Group & PDE (monthly)
3) Commence Scaling of TC only migration notices at increased volume (05/04/23)
4) Roll-out Plan post Jul 23 agreed with Area Directors in Operations and PDE (28/04/23)
5) Readiness to operate at Scale (PB) (20/06/23)
6) Stocktake assessment of readiness to further increase volumetric scaling of Tax Credit only migration notices to operate at full scale (30/06/23)
7) Commence operating at full scale (Jul 23)
8) Readiness assessment to move to Completion Phase confirmed (at PB) and volumes are on track to migrate TC Only claimants (Nov 23)
9) MtUC Scaling Phase ends (end Dec 23)
10) Commence with preparations for completion of UC Programme (Jan 24)
11) Commence with the MtUC Completion Phase at full volume (Apr 24)
12) Stocktake assessment (at PDE) to confirm that the migration of all TC only claimants is complete and we are on track to safely migrate the remaining in-scope Legacy claimants by Dec 24 (Jul 24)
13) Final migration notices issued (Sep 24)
14) Stocktake assessment (at PDE/PB) to confirm that in-scope claimants will complete their Migration journey by Dec 24 and handover and closure activities can commence (Nov 24)
15) Proposed changes / new Policy/Operational requirements managed through UC Change Impacting Group and agreed through robust Governance arrangements at PDE (ongoing)
16) Monitoring of the Product Teams and digital workforce to maintain required skills/ capability throughout Scaling and Completion Phase (ongoing).
17) Regular engagement with HMRC to monitor progress of automation (ongoing).

Completed:
a) Implementation Control Centre (ICC) fully operational to monitor and control performance of the service in live running, informing scaling decisions (11/01/23)
b) Roll-out Scaling Approach agreed at WHET and PDE (11/01/23)
c) Scaling the Service demand and resource approach agreed with Area Directors in Operations for Q1 (13/01/23)
d) Assessment of progress against Readiness Criteria for Scaling at MtUC Sub Group & PDE (Jan, Feb 23)
e) Implementation plan for Apr-Jun 23 agreed with WHET (31/01/23)
f) Roll-out Plan (April – Jun 23) agreed at WHET and PDE (08/02/23)
g) Update on progress against Readiness Criteria for Scaling at PB (21/02/23)
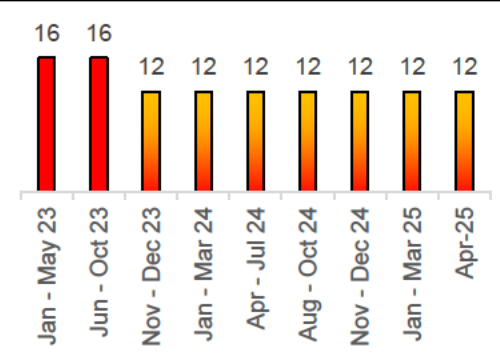
UC

Annexe 5: PDE level Risks

➢ P85 UC Fraud & Error Benefits Realisation.
➢ P87 Targeted Case Review.
➢ P88 Move to UC - Discovery Testing (In-scope Legacy Benefit Claimants).

P85 UC Fraud & Error Benefits Realisation

UC

Risk	Risk Details	Mitigations Planned/Completed

Risk

Description:
Without the successful completion of the MVFE reduction plan the levels of MVFE and the corresponding benefits stated in the UC FBC including MVFE savings by 2026/2027 will not be achieved.

Causes:
1. Increases in MVFE driven by a rising failure to declare changes (e.g. to Capital, Earnings and Living Together).
2. Competing design/operational priorities prevent implementation of processes/planned improvements to reduce MVFE.
3. Increases in particular claimant groups who may not report changes to their situation as it improves, leading to higher rates of fraud & error.
4. Economic pressures increase the probability for fraud to be committed.
5. The Gainfully self-employed (GSE) and Minimum Income Floor (MIF) were temporarily suspended to support gainfully self-employed claimants. 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

Consequences:
a. 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:
   - Increased AME Costs due to higher Fraud & Error.
   - The benefits and savings agreed in the FBC may not be realised.
   - Resulting in significant reputational damage and continued serious stakeholder concern.

To Note: The UC FBC F&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%.

Risk Details

Risk Owner: Will Garner
Risk Action Manager: [redacted] & Paula Hassall
Risk Raised: 04/08/21
Current Rating: R16 (Impact 4 x Likelihood 4)
Target Rating: AG4 (Impact 4 x Likelihood 1)
Target Date: Mar 27
Impact Date: Apr 27

Expected Flight Path

Bar chart values: 16 (Jan – Jun 23), 16 (Jul – Dec 23), 16 (Jan – May 24), 12 (Jun-24), 12 (Jul – Dec 24), 12 (Jan – Jun 25), 12 (Jul – Dec 25), 12 (Jan – May 26), 8 (Jun-26), 8 (Jul – Dec 26), 8 (Jan – Feb 27), 4 (Mar-27)

Flight Path Rationale/Changes:-
- **Jun 24** – Risk reduced to AR12 (I4 x L3) once reduction in published MVFE numbers (May 24) is confirmed
- **Jun 26** – Risk reduced to A8 (I4 x L2) once further reduction in published MVFE numbers (May 26) is confirmed
- **Mar 27** – Risk mitigated to AG4 (I4 x L1) once all treatment actions undertaken e.g. case cleanse of the stock of fraud and MVFE reduction plan completed.

To Note: 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.
This Risk helps mitigation PPA01 re the Reduction in Fraud and Error. Mitigations regarding TCR are shown in Risk P87
Some improvement measures within the UC Backlog may be carried out over a number of UC Phases, which will be included in future iterations of the Risk.

Mitigations Planned/Completed

Planned:
1) Deliver the following improvements during P13 (24/05/23):
   - End to end fraud process e.g. 'make a decision' to-do based on insight from the end-to-end fraud process MVP.
   - Capital Journey – Direct questioning of claimants to increase their propensity to declare CoC capital accurately
   - Housing (Reverification of Housing costs):
     - Assessment of existing housing element claims (IRIS model office) to take corrective action on stock cases.
     - Update to build requiring reverification of existing housing costs
   - Payment & calculation processing e.g. under / over payment processing; reduce dependency on manual calculator.
   - Annual rent changes for SRS expected to be with zero tolerances.
2) Explore work in the following areas during P13 (24/05/23):
   - Third-party data to help recognise false capital declarations.
   - Transaction risking to prevent false declarations in relation to living together.
   - Living Together – Proof of Concept – to test claimant behaviour hypothesis to establish if introducing further workflows/checks would prevent fraudulent/erroneous new claims when moving from TC to UC.
3) Implemented through TxR:
   - Self-employments earnings and expenses - initial model features agreed, currently (Nov 22) being run through coding/testing with Model Office. Commence small test (30/07/23).
   - Capital Journey – The Capital Model is in development. Using data from HMRC to inform DWP of interest paid on capital. Commence Model Office testing (30/07/23).
   - Living Together – testing by Enhanced Review Team which involves 200 cases per fortnightly sprint (ongoing)
4) Implementing TCR:
   - Scaling up to c.930 FTE EO TCR Agents complete (31/03/23)
   - Impacting of 'Bigger' elements of Autumn Statement (May 23)
   - Re-plan following impacting of 'faster' (Q1 23/24)
   - Re-plan following impacting of 'Bigger' (Jun 23 tbc)
   - Scaling up to c.2000 FTE EO TCR Agents completes (Sep 23)
   - Scaling up to c.2830 FTE EO TCR Agents completes (Dec 23)
5) Publication of numbers confirming reduction in MVFE (May 24 and May 26)
6) Review/Revise plans based on insight from MVFE results and TCR (ongoing).

Completed:
a) £260m additional investment in TCR (Nov 22)
b) Commenced Trial targeted interventions for specific fraud scenarios on reclaim (Mission Memory) (06/01/23)
c) Same Child on multiple claims – targeting the stock via TCR. After a trial in two service centres, new feature rolled out nationally (25/01/23)
d) Commission to Capacity Board for consideration/approval to recruit c.2000 FTE by Sep 23 (17/02/23)
e) Submission to ET to approve recruitment of c.2000 FTE EO Agents by Sep 23 and c.2830 by Dec 23 (22/02/23)
f) P13 Mid Phase Review (08/03/23)

P87 Targeted Case Review

UC

Risk	Risk Details	Mitigations Planned/Completed

Description:
Successful delivery of TCR objectives relies on a combination of staffing levels, agent productivity, hit rate and sufficient average AME / MVFE change being identified per case. Should any of these four factors be less than forecast we may be unable to deliver the projected overall AME / MVFE change, leading to TCR AME / MVFE targets not being realised and a failure to deliver a contribution to UC Business Case outcomes.

Causes:
1. Inability to build the required levels of operational capacity / capability at the right time in the right locations.
2. Key Service Enablers and automation are not delivered at the right time resulting in additional manual effort being required.
3. TCR Agent effort / time required to clear different case types is greater than anticipated.
4. Volume of cases requiring hand-off (e.g., to Decision Makers) is higher than anticipated, increasing time taken to clear cases.
5. Productivity and accuracy of TCR Agents is lower than anticipated.
6. Hit rate of fraudulent / incorrect* cases is lower than forecast (i.e., fewer cases than anticipated or of lower value of AME / MVFE changes).
7. TCR Agents not establishing full extent of incorrectness* / missing the historic element.
8. AME / MVFE change per case less than forecast.

***To note** – incorrectness may represent an over payment or under payment and may be caused by claimant error or official error.

Consequences:
a. Failure to deliver OBR commitment of AME / MVFE savings
b. Failure to deliver anticipated AME savings / MVFE reductions as set out in the UC Programme Business Case.
c. Necessity to revise forecasts leading to increased scrutiny and reputational damage.

Risk Owner: Will Garner
Risk Action Manager: Paula Hassall
Risk Raised: Mar 22
Current Rating: AR16 (Impact 4 x Likelihood 4)
Target Rating: TBD
Target Date: TBD
Impact Date: TBD

Expected Flight Path

Flight Path Rationale/Changes:-
➤ **Nov 23** – Risk reduced to AR12 (I4 x L3) once a performance review at PDE confirms all contributing metrics are on track to deliver the agreed OBR commitments for FY23/24.

To note: Future Flight Path reductions will be determined once more evidence from the MVP and manual processes is available to determine if the trajectory can be positively adjusted.

Planned:
1) FEDA deep dive paper on the AME calculation changes, the differentials in the figures and the assumptions made presented to TCR PB (Mar 23)
2) Further 250 EO Agents recruited/in place (Total of c.930) (31/03/23)
3) Performance Optimisation Plan developed and in place (31/03/23)
4) AME calculation paper presented to Strategy Delivery Executive for approval (Apr 23 tbc)
5) Strategic Delivery Model Assessment recommendations concluded with recommendations presented to ET and Capacity Board (Apr 23)
6) Further roll-out of MVP (ID & Bank Statement) post evaluation (Apr 23 tbc)
7) Impacting of 'Bigger' elements of Autumn Statement announcement will conclude (May 23)
8) Re-plan following impacting of Faster (Q1 23/24)
9) Re-plan following impacting of Bigger (Jun 23 tbc)
10) Further 1070 FTE EO Agents recruited/in place (Total of c.2000) (Sep 23)
11) Performance metrics updates (staffing levels, productivity, hit rate and average AME / MVFE change per case) at TCR PB (monthly)
12) Performance review at PDE to assess if all contributing metrics are on track to deliver the agreed OBR commitments (Oct 23)
13) Total of c.2830 FTE EO Agents recruited/in place (Dec 23)
14) Process and Agent guidance / support materials continually streamlined and iterated based on feedback from test & learn (ongoing)
15) Progress updates on Service Enablers at TCR PB (monthly)
16) Additional IRIS rules are being commissioned (ongoing)
17) Process and Agent guidance / support materials continually streamlined and iterated based on feedback from test & learn (ongoing)

Completed:
a) IRIS rules for MVP ID & Bank Statement have been delivered (25/01/23)
b) MVP (ID & Bank Statement) testing starts (25/01/23)
c) Commission to Capacity Board for consideration/approval to recruit c.2000 FTE EO Agents by Sep 23 (17/02/23)
d) Robust productivity measurement methodology agreed with FEDA to reflect outcomes i.e. against AME / MVFE targets (end Feb 23)
e) Submission to ET to approve recruitment of c.2000 FTE EO Agents by Sep 23 and c.2830 by Dec 23 (22/02/23)
f) Working FEDA to agree a robust productivity measurement methodology (end Feb 23)
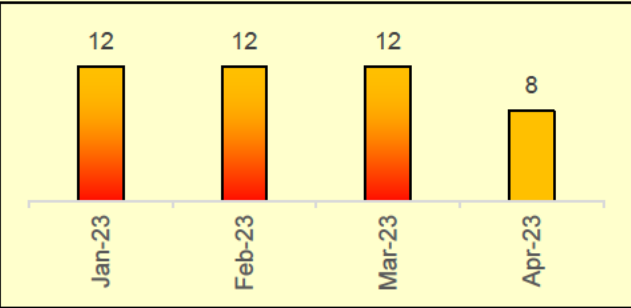
Risk	Risk Details	Mitigations Planned/Completed

Risk

Description:

Delays in Scaling of TC only cases may limit the time and/or people (Product Teams) available to Design and/or undertake Discovery Testing for in-scope legacy (exc. ESA & ESA+HB) claimants which may impact our learning capacity and readiness to commence scaling of the remaining cohorts.

Causes:

1. Limited learning on how to safely and successfully migrate in-scope Legacy Benefit claimants due to early focus on TC only claimants.
2. Changes to Policy or Design resulting from wider Government demands or DWP Ministerial initiatives, legislative requirements, Judicial Reviews and Tribunal Decisions may require changes to migration designs, processes and supporting materials, slowing or delaying progress/timescales.
3. Wider Departmental priorities leading to increasing or competing Operational service demands, e.g. Workforce Participation, In-Work progression, Targeted Case Review
4. Other initiatives across DWP/HMRC may place additional demand on the UC Programme e.g., Responses to economic instability / inflationary pressures may necessitate changing UC prioritisation plans impacting Discovery & delivery timescales.
5. Proposals to reduce economic inactivity and support workforce shortages may require significant UC build time and UC operational support.
6. Planned levels of process efficiency (DWP & HMRC) may not be achieved, impacting progress e.g., Transitional Protection (TP) data gather.
7. Insufficient Operational resource (capacity and/or capability) or Operational readiness to complete all migrations as set out in the scalability plan, given current levels of demand, attrition rates, recruitment timescales etc.

Consequences:

a. Unable to expand MtUC Discovery to enable Scaling of in-scope Legacy Benefit Claimants to begin as planned.
b. We do not learn enough during Discovery to identify how to confidently start the Scaling of in-scope Legacy Benefit claimants as planned.
c. There may be consequences on the service delivery plans of our delivery partners.

Risk Details

Risk Owner: Will Garner
Risk Action Manager: ▉
Risk Raised: 06/09/22
Current Rating: AR12 (Impact 4 x Likelihood 3)
Target Rating: AG4 (Impact 4 x Likelihood 1)
Target Date: Mar 24
Impact Date: Apr 24

Expected Flight Path

Flight Path Rationale/Changes:-

➢ **Jan 24** – Risk reduced to A8 (I4 x L2) once Discovery for in-scope Legacy Benefit claimants has been in progress for 3 months and we have some learning in place to inform next steps.

➢ **Apr 24** – Risk mitigated to AG4 (I4 x L1) once we have sufficient confidence in learning from in-scope Legacy Benefit claimants to commence Scaling these claimant groups in Apr 24.

To Note: Mitigations (including completed) to address this Risk are included in P90, which is routinely cross referenced and scrutinised/monitored at Governance Boards.

Mitigations Planned/Completed

Planned:

1) Move to UC automation – HMRC "go-Live" Release (22/03/23)
2) Resources/Recruitment for Q2 agreed:
   - Resources secured for commencing with operating at Scale (Mar 23)
   - MtUC FTE recruited per demand forecast (ongoing)
   - MtUC resource available per capacity plan (ongoing, reviewed monthly)
3) Commence Scaling of Tax Credit claimants (05/04/23)
4) Approach to re-starting Discovery with in-scope benefits combinations established (Jun 23)
5) Operate at Scale (Jul 23)
6) Plan established for Completing in-scope MtUC (Sep 23)
7) Scope of Discovery expands to include the remaining in-scope Legacy claimants (Sept 23)
8) Prepare for Completion (Mar 24)
9) Readiness Assessment conducted (PDE/PB) to confirm move to Completion Phase can commence (Mar 24 tbc)
10) Commence Completion Phase (01/04/24)
11) Stocktake assessment of readiness (PDE) to verify all in-scope Legacy claimants can be moved at full scale (Nov 24 tbc)
12) Adopting a phased prioritisation process alongside governance protection (ongoing)
13) Robust change impacting process controls protect UC from wider service transformation activity, except where it aligns with UC priorities (ongoing)
14) Progress monitoring of Discovery Phase plans and reporting (PDE/PB) (ongoing)
15) Progress monitoring of Scaling Phase plans and reporting (PDE/PB) (tbc)

Completed:

a) Earliest Testable Service (ETS) – Learning from first 500 claimants presented to PB (15/11/22)
b) Integrate the Transitional Element calculator with UC (20/11/22)
c) Stocktake assessment (PB) of readiness to commence Scaling Planning Phase (20/12/22)
d) Consolidation of learning from further 1250 claimants (20/12/22)
e) Scaling Planning Phase commenced (Jan 23)
f) Tax Credits Migration Expanded into Second Service Centre (24/01/23)
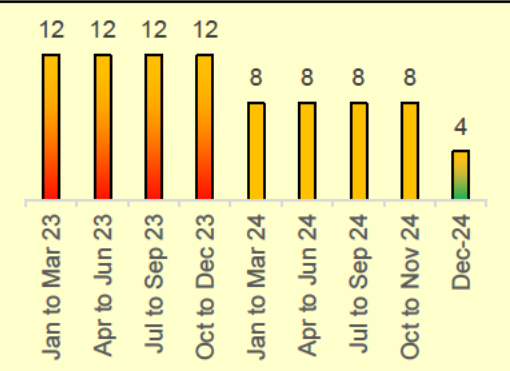
Annexe 6: Top Strand level Risks

➢ D02 UC Security Attack / Compromise

➢ D04 UC Product Development Capacity/Capability

➢ D05 UC Dependent Systems

➢ PPA01 UC Transformation Benefits Realisation

➢ TCR02 TCR - Delivery of Key Service Enablers
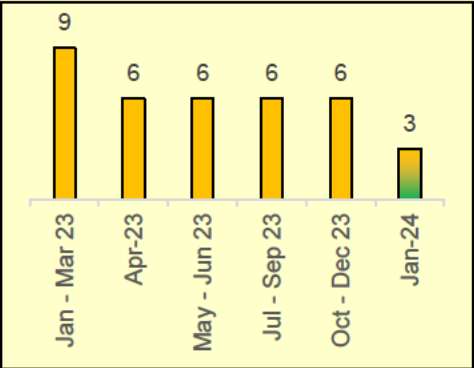
➢ TCR08 TCR - Agent Recruitment

D02 UC Security Attack / Compromise

UC

Risk	Risk Details	Mitigations Planned/Completed

Risk

Description:
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.

Causes:
1. Malicious or unauthorised access of UC systems and the transmitting of unsanctioned claimant data outside the Department.
2. Global threats including malicious software and ransomware.
3. Internal security breach leading to the unauthorised exposure of claimant data during implementation/improvements.
4. Privileged Users using elevated access rights.

Consequences:
a. Loss of service including delays to payments and new claims.
b. Embarrassment, distress or physical harm to claimants following a privacy breach.
c. Significant internal or external fraud including payment diversion.
d. Claimant identity theft.
e. Loss of confidence in public services including refusal to comply with UC conditionality to due privacy concerns.
f. Possible extensive fines from the ICO and public or parliamentary inquiries.

Risk Details

Risk Owner: Paul Francis
Risk Action Manager: ▉▉▉▉▉ / ▉▉▉▉▉
Risk Raised: 05/03/21
Current Rating: AR12 (Impact 4 x Likelihood 3)
Target Tolerance Rating: A8 (Impact 4 x Likelihood 2)
Target Date: Q1 2023
Impact Date: Immediate

Expected Flight Path

Bar chart — Jan-23: 12, Feb-23: 12, Mar-23: 12, Apr-23: 8

Flight Path Rationale/Changes:-
➢ **Q2 23** – Risk reduced to Tolerance Rating of A8 (I4 x L2) once the Programme has implemented the controls being delivered through the DWP Adaptive Security Programme and they have been independently tested by Security and Data Protection and/or GIAA.
➢ The Flight Path is currently under review.

To Note:
➢ 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 A8.
➢ 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.

Mitigations Planned/Completed

Planned:
1) DB encryption:
   ➢ Complete searchable encryption from DB2 and D&A delivering PII field decryption capability (Q1 23).
2) Migration of UC Agents provisioning to DWP Place completed (tbc)
3) Independent controls test commissioned from DWP Enterprise Security and Risk Management, including:
   ➢ Three-year rolling audit programme for UC's ISO27001 Information Security Management System (ISMS) (ongoing).
   ➢ Assurance and testing of the Burbank/HCL infrastructure (dependency for Move to UC project) Final Report (end Mar 23 tbc).
   ➢ Role-based access controls ensure segregation of duties (Q2 23)
   ➢ UC advanced access Role-based control test (Q2 23)
4) Third party software assurance maturity exercise findings being analysed to inform automation of security testing within software development pipeline. Consultancy work, engineering support and handover completed. (end Mar 23)
5) Updated UC Data Privacy Impact assessment to ensure GDPR compliance – key focus is data retention and automated decisions (tbc)
6) Move end-user VPN from Caxton House to AWS to improve resilience in the event of a disruption. (May 23).
7) Review of Business Continuity Plans (ongoing)
8) Process improvements identified to address vulnerabilities (ongoing)

Completed:
a) Testing new security tool that detects vulnerable code in third party software libraries that could result in a compromise of UCFS. Testing found tool was unsuitable, no-go decision made. (24/01/23)
b) Implementation of Ransomware playbook and exercise to test (30/01/23)
c) Commenced Assurance and testing of the Burbank/HCL infrastructure (dependency for Move to UC project) (Feb 23)
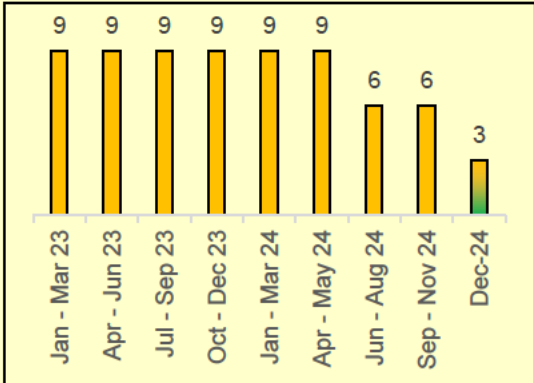
D04 UC Digital Product Development Capacity/Capability — UC

Risk	Risk Details	Mitigations Planned/Completed

Risk

Description:
Limited supplies for skilled contract roles may impact our ability to increase and maintain resource capacity & capability at the scale needed to meet all the UC requirements, including but not limited to: reducing fraud & error, supporting labour market initiatives, running/maintaining a secure/performant service.

Causes:
1. Recruitment of permanent staff is difficult e.g. unattractive/inflexible remote working options, highly competitive market, increasing timescales.
2. Recruitment of some user centred design and engineering roles is difficult.
3. Changes to Departmental Priorities regarding MVFE may require reprioritisation between MtUC and Fraud & Error.
4. Unable to retain the existing teams and skill levels alongside increasing capacity/capability quickly enough to meet the resource demands, (e.g., for TCR teams).
5. Unscheduled requests to make changes to the UC service (including GOV.UK content, work coach instructions or Jobcentre process) that may require additional support.
6. Initiatives to reduce economic inactivity resulting in pressure on UC Product Development Teams to develop solutions, reducing their ability to maintain a stable and performant service.
7. Wider Departmental priorities leading to increasing or competing Digital demands (e.g. Workforce Participation, Labour Market Measures) and insufficient capacity to deliver over and above agreed priorities.

Consequences:
a. New functionality resulting from change requests would not be delivered.
b. Capacity/Capability of the team will be over stretched.
c. Without contingent labour e.g. 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 (e.g., TCR service enablers) that the Programme has committed to.
d. In the worst case scenario we would not be able to maintain the security and availability of the system.

Risk Details

Risk Owner: Paul Francis
Risk Action Manager: Chris Thorn
Risk Raised: Nov 21
Current Rating: AR12 (Impact 4, Likelihood 3)
Target Rating: AG4 (Impact 4, Likelihood 1)
Target Date: Dec 24
Impact Date: Dec 24

Expected Flight Path

Flight Path Rationale/Changes:-
- **Jan 24** – Risk reduced to A8 (I4 x L2) once we are content that we have a full complement of resource to be able to commence with the Completion Phase of MtUC to move claimants from legacy benefits to UC.
- **Dec 24** – Risk mitigated to AG 4 (I4 x L1) once we are content that we are running and maintaining a secure and performant service.

To Note: The Java Developer part of this risk is currently being actioned via Programme Issue P05.

Mitigations Planned/Completed

Planned:
1) Stocktake assessment (PDE) of readiness to further increase volumetric scaling of TC only migration notices (30/06/23)
2) Work at Digital Group Level to re-benchmark roles and other strategic initiatives to address the chronic digital resource issue. (ongoing)
3) Further development of UC communities of practice to improve retention (ongoing)
4) Continual improvement to UC recruitment and on-boarding processes (ongoing)
5) Monitoring of the Workforce Planning Document to ensure sufficient resource numbers with the required skills and capability are retained (Inc. for TCR). (ongoing)
6) Capability Assessment Matrix (CAM) Tool now adopted in the Digital Specialists and Programmes (DSP) framework to provide another option for recruitment (ongoing)
7) Proposed changes / new Policy/Operational requirements managed through UC Change Impacting Group and agreed through robust Governance arrangements at PDE (ongoing)

Completed:
a) Outcome from Mid-Phase stock take to be presented to PB (15/03/22)
b) Market engagement day (26/05/22)
c) Pursued all avenues and available commercial routes, including IBM, MadeTech and TCS.
d) Advert for permanent recruitment for Birmingham Hub went live (18/08/22).
e) Stocktake assessment (PDE) to agree commencement of volumetric scaling of Tax Credit (TC) only migration notices (15/03/23)

D05 UC Dependent Systems

UC
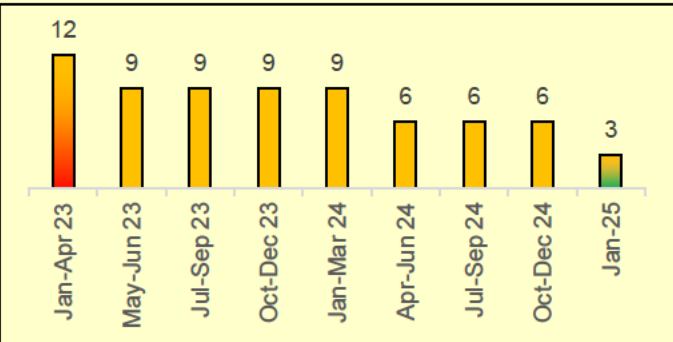
Risk	Risk Details	Mitigations Planned/Completed

Risk

Description :
The inability of dependent systems* to meet continuing performance and development needs may result in disruption to UC service delivery, failure to achieve the required business case outcomes and adversely impact Move to UC and UC transition to BAU.

*UC has 28 key external integrations across DWP, OGDs and suppliers

Causes:
1. Updates to DWP Desktop systems may cause disruption e.g. Implementation of Office 365 roll-out, SharePoint & Cloud First devices.
2. Development of services under the Digital strategic reference architectures not aligned with UC:
   - Perception of method (user journey up vs service design down).
   - Level of centralisation (data and function).
   - Level of UC engagement or ability to influence.
3. Dependent system(s) inability to meet critical change requirements, performance & resilience needs.
4. Management information e.g. Volume of UC data, the size of user base and the availability of D&A resources to collate the data.
5. Data and integration solutions from Dependent Systems are not available within Move to UC Programme timescales.

Consequences:
a. DWP Desktop i.e. Performance issues in UC off-build tools and agent access to UC and UC tools.
b. Strategic Alignment i.e. ARA may not achieve desired Departmental view without UC & UC may become "legacy" or outside the rest of DWP.
c. Dependent systems i.e. Impact on UC performance and ability to gather, IDV, calc & pay in a timely manner.
d. MI i.e. Failure to produce MI reports in line with agreed SLA.
e. Inability to scale Move to UC and therefore meet Business Case Outcomes.

Risk Details

Risk Owner: Paul Francis
Risk Action Manager: █████████
Risk Raised: 08/06/22
Current Rating: A9 (Impact 3 x Likelihood 3)
Target Rating: AG3 (Impact 3 x Likelihood 1)
Target Date: Dec 23
Impact Date: Jan 24

Expected Flight Path

Bar chart values: Jan - Mar 23 = 9, Apr-23 = 6, May - Jun 23 = 6, Jul - Sep 23 = 6, Oct - Dec 23 = 6, Jan-24 = 3

Flight Path Rationale/Changes:-
- **Apr 23** – Risk Reduced to A6 (I3 x L2) once HMRC case selection, UC TP calculation and Stop Notices have been delivered.
- **Jan 24** – Risk will be mitigated to AG3 (I3 x L1) once the mitigations identified in review in Dec 22 have been delivered and TDA have confirmed there will be no impact on the completion of UC by Dec 24.

Mitigations Planned/Completed

Planned:
1) DWP Desktop:
   - Build & delivery of low-code tools (Dec 23).
2) Strategic Alignment:
   - Enabling broader access to UC data through Service Award Aggregator (13/04/23).
   - UC sharing data with Scottish Government through ARA compliant awards data & events service (May 23).
   - Using Get Earnings Income API to view trusted historical earnings information to assist in the HRT process and the EUSS pre-settle status (residency) (tbc).
3) MI:
   - Permanent Dataworks staff (four) recruited, replacing contingent labour (tbc).
4) Dependent Systems:
   - Deliver JSA, ESA , HB and Tax Credits data to Move to UC Programme Strand. (as per agreed Roll-Out schedule).
   - Moving UC LEV integration to APIg (tbc)
   - Move NIRS updating to HMRC API (Q2 23).
5) Move to UC:
   - HMRC to provide automated solution to select Tax Credit claimants (22/03/23)
   - HMRC to provide automated information to calculate TP and issue Stop Notices (22/03/23)
   - D&A to provide an automated solution to select WA claimants (Q2 23)
   - IAG to provide Legacy Benefit information to calculate TE (Q2 23)
   - LAs to develop termination Stop Notice following receipt of UC data (Q2 23)
6) Progress review (6 weekly) of delivered mitigations at TDA (ongoing)

Completed:
a) DWP Desktop:
   - The SMOP tool, used as a UC Test & Learn, has been delivered to live.
   - Each UC tool has been allocated to a Product Manager to consider further prioritisation.
   - Assess the impact of introduction of Cloud First devices (Feb 23).
b) Strategic Alignment:
   - Using Location service and closing existing Experian contract (Sep 22).
c) MI:
   - Contingent labour recruited (from Jun 22) to backfill pending permanent recruitment (Jul 22)
d) Dependent Systems:
   - Automate receipt of "Advice of Wrong Account for Automated Credits Service" (AWACS) (27/07/22).
   - Opened up CPS Int 7 on a Saturday to enable Faster Payments commitment to pay on time (31/10/22).
   - Move legacy Burbank Passported Benefit (Legal Aid through MoJ) to the Integration Platform / UC Awards API (21/11/22)
   - Move the remaining two legacy Burbank Passported Benefits to the Integration Platform / UC Awards API (Jan 23)
e) Move to UC:
   - HMRC deliverable to enable Transitional Element Calculation (16/12/22)
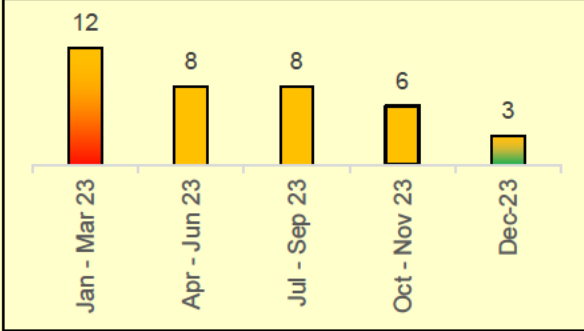   - RTE deliverables to enable Transitional Element Calculation (Feb 23)

PPA01 UC Transformation Benefits Realisation

UC

Risk	Risk Details	Mitigations Planned/Completed

Risk

Description:

The Programme may not achieve its Transformation potential and associated benefits realisation. These include the following Priority Benefits:

- Operational Efficiencies
- Reduction in Fraud and Error
- Labour Market impacts

Causes:

1. Changes to UC Policy, Scope or Design i.e. linked to changes in Ministerial priorities (e.g. Workforce Participation), re-prioritisation of the Single Departmental Plan, Judicial/Tribunal decisions, Fiscal impacts, or external pressures.
2. UC Operating Model is not adhered to and/or claimants do not respond positively to the MtUC migration campaign delaying UC completion.
3. The enhanced Labour Market Regime does not deliver the efficiencies as per Policy expectations/intent.
4. Changed priorities may result in the planned level of automation not now being achievable or does not have the anticipated impact on Operational efficiencies.

Consequences:

a. Delayed deliverables to time, cost and quality may not be achieved, therefore:
   - Operational FTE will increase beyond intended levels outlined in the FBC increasing DEL costs beyond expectations.
   - The amount of required change (repair and new) may saturate operations which may mean performance levels are not sustainable.
   - Labour Market outcomes not achieved as intended in FBC.
   - Increased AME Costs due to higher Fraud & Error
   - The benefits and savings agreed in the FBC may not be realised.
   - Resulting in significant reputational damage and continued serious stakeholder concern.

To Note: Mitigation actions to address causes 1 & 2 in this Risk are included in other Risks. Cause 3 is being addressed via Operations. Risk P85 shows the mitigations for the Reduction in Fraud and Error part of this Risk.

Risk Details

Risk Owner: Stuart Ison
Risk Action Manager: ▮▮▮▮▮▮▮
Risk Raised: 05/03/21
Current Rating: A9 (Impact 3 x Likelihood 3)
Target Rating: AG3 (Impact 3 x Likelihood 1)
Target Date: Dec 24
Impact Date: 2024/25

Expected Flight Path

Bar chart values: Jan–Mar 23: 9, Apr–Jun 23: 9, Jul–Sep 23: 9, Oct–Dec 23: 9, Jan–Mar 24: 9, Apr–May 24: 9, Jun–Aug 24: 6, Sep–Nov 24: 6, Dec–24: 3

Flight Path Rationale/Changes:-

➢ **Jun 24** – Risk reduced to A6 (I3 x L2) once scaling at greater volumes is underway and we are assured that MtUC volume assumptions are accurate, being delivered to the agreed roll-out plan and confident can increase and maintain volumes.

➢ **Dec 24** – Risk mitigated to AG3 (I3 x L1) 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.

Mitigations Planned/Completed

Planned:

1) Developing a UCFS baseline from which to measure future Labour Market performance:
   - JSA type lone parent claimants (end Apr 23)
   - ESA WRAG cases (Dec 23)
   - An in-work group (Dec 24)
2) Regular reporting to PDE/PB to enable effective decision making, these include:
   - Backlog progress, UC scope Changes, Fiscal impacts (ongoing)
   - Quarterly Benefits Realisation update at PDE/PB (tbc)
3) Commence Scaling of TC only migration notices at increased volume (05/04/23)
4) Treasury Approval Point (Dec 23)
5) Complete Move to UC (Dec 24)
6) Handover Benefits to Business as Usual (2024/25 FY)
7) MVFE reduction plan 26/27:
   - MVFE Plan complete; and
   - Targeted Case Review scaled and case cleanse complete.
8) Develop contribution and impact wider proposals to support further fiscal events. (ongoing)
9) Financial cost updates to HMT (quarterly)

Completed:

a) Financial cost update to HMT (01/12/21)
b) HMT Drawdown (01/04/22 to 31/12/22)
c) Benefit Realisation update to PDE/PB (26/04/22, 19/07/22)
d) IPA Review (w/c 07/11/22)
e) Refresh of Business Case Numbers and Benefits Realisation update to PB (15/11/22)
f) Treasury Approval Point (15/12/22)
g) HMT Drawdown (Jan 23)

TCR02 TCR - Delivery of Key Service Enablers

UC

Risk	Risk Details	Mitigations Planned/Completed

Description:

Competing priorities and / or unexpected complexity in the build requirements may prevent the delivery of key Service Enablers and automation at the required time. This may impact our ability to commence Scaling the MVP and to continue to expand the service, preventing us from meeting our OBR Commitments and realising projected AME / MVFE savings.

Causes:

1. Limited build capacity with competing priorities.
2. Use of external contractors with limited knowledge / experience working on UC systems.
3. Unexpected levels of complexity in build requirements / security requirements.
4. Delays / additional build requirements to obtain necessary security approvals for key deliverables.

Consequences:

a. Productivity is lower than forecast.
b. Delays to future scaling.
c. Failure to achieve OBR commitments.
d. Failure to deliver anticipated AME / MVFE savings as set out in the UC Programme Business Case.

Risk Owner: Paula Hassall
Risk Action Manager: ▮▮▮▮▮▮▮▮▮
Risk Raised: Mar 22
Current Rating: AR12 (Impact 3 x Likelihood 4)
Target Rating: AG3 (Impact 3 x Likelihood 1)
Target Date: Jan 25
Impact Date: Feb 25

Expected Flight Path

Flight Path Rationale/Changes –

➤ **May 23:** Risk reduced to A9 (I3 x L3) following evaluation and commencement of roll-out of MVP (ID & Bank Statement).

➤ **Apr 24:** Risk reduced to A6 (I3 x L2) as we are operating with an increased number of Agents in place, giving us confidence in the effectiveness and stability of the Service Enablers.

➤ **Jan 25:** Risk mitigated to AG3 (I3 x L1) as all Service Enablers in place and operating at scale.

To Note: The Risk content currently reflects the 'Faster' elements of the TCR objective i.e. service enablers required to support the recruitment of TCR Agents by Dec 23). The Risk will be reviewed and updated to reflect the 'Bigger' elements of the TCR Autumn Statement following impacting, which will conclude in May 23.

Planned:

1) Customer evidence is available to the appropriate agent(s) only (end Mar 23)
2) Testing of MVP (ID & Bank Statement) across selected sites with further improvements identified and implemented (end Mar 23)
3) Further roll-out of MVP (ID & Bank Statement) following evaluation (Apr 23 tbc)
4) Roadmap for 2023/24 agreed (Apr 23 tbc)
5) Dependencies actively managed at delivery level (ongoing)
6) Security representation and key security considerations are maintained throughout development of the build (ongoing)
7) SharePoint document structure work continues as new sites go live to ensure data security remains at an acceptable level (ongoing)

Completed:

a) TCR Pre–Mortem Exercise with appropriate actions identified if we cannot deliver key service enablers / levels of automation (26/05/22)
b) Workflow Management solution (Case Management Tool) available for CS (22/08/22)
c) 'Supply Evidence in Secure Manner' in place for CS (29/08/22)
d) Go / No-Go decision for Scaling the MVP (23/09/22)
e) Second pre-mortem exercise focused on 3 critical areas (MVP, AME & Bigger Faster) (28/11/22)
f) SharePoint Document Structure in place before additional manual sites can go live (Bangor & Derby) (01/01/23)
g) IRIS rules for MVP (ID & Bank Statement) have been delivered (25/01/23)
h) MVP (ID & Bank Statement) testing go live in two sites (25/01/23)
i) Working with secure design and DWP security on the structure, permissions and retention labels (10/02/23)
j) Additional sites (Leeds/Plymouth) roll-out MVP (ID & Bank Statement) (22/02/23)
k) Roadmap developed and presented at TCRPB (26/01/23)

TCR08 TCR - Agent / Management Recruitment

UC

Risk	Risk Details	Mitigations Planned/Completed

Risk

Description:
Timescale pressures and competing recruitment exercises may impact our ability to recruit, upskill and retain sufficient staff to achieve the agreed FTE EO TCR Agents (and the associated management overheads) to the agreed schedules leading to TCR objectives not being met and AME / MVFE targets not being realised.

Causes:
1. Wider Departmental priorities around Workforce Participation.
2. Concerns around internal churn and headcount pressures.
3. Parallel recruitment exercises at EO grade across DWP.
4. A challenging external labour market results in competing against other sectors for skilled resource – both in recruitment and retention.
5. The need to run recruitment exercises over the peak holiday periods may impact our ability to recruit to the scheduled timescales.

Consequences:
a. Without adequate numbers of appropriately skilled TCR Agents in place, we will be unable to deliver and scale the TCR service at the pace required.
b. Failure to deliver OBR commitment of AME / MVFE savings.
c. Failure to deliver anticipated AME / MVFE savings as set out in the UC Programme Business Case.
d. Necessity to revise forecasts leading to increased scrutiny and reputational damage.

Risk Details

Risk Owner: Paula Hassall
Risk Action Manager: ███████████ /
███████████

Risk Raised: 13/10/22
Current Rating: AR12 (Impact 4 x Likelihood 3)
Target Rating: AG3 (Impact 3 x Likelihood 1)
Target Date: Dec 23
Impact Date: Jan 24

Expected Flight Path

Flight Path Rationale/Changes –

➢ **Apr 23:** Risk reduced to A8 (I4 x L2) once c.930 FTE EO Agents have been recruited and are in place, we will be well versed in the process and will have gone into a larger number of new locations.

➢ **Oct 23:** Risk reduced to A6 (I3 x L2) as once a total of c.2000 FTE EO Agents have been recruited and are in place.

➢ **Dec 23:** Risk mitigated to AG3 (I3 x L1) as c.2830 FTE TCR EO Agents have been recruited.

To Note: Whilst the Target Date is Dec 23, the recruitment profiles are consistently monitored to ensure Agent recruitment remains on track.

Mitigations Planned/Completed

Planned:
1) Further 250 FTE staff recruited/in place (Total of c.930 FTE EO Agents in place) (31/03/23)
2) Strategic Delivery Model Assessment to consider outsourcing. Recommendations conclude with recommendations presented to ET and Capacity Board (Apr 23)
3) Re-plan following impacting of Faster (Q1 23/24)
4) Impacting of 'Bigger' elements of Autumn Statement announcement will conclude (May 23)
5) Re-plan following impacting of Bigger (Jun 23 tbc)
6) Further 1070 FTE staff recruited/in place (Total of c.2000 FTE EO Agents recruited) (Sep 23)
7) Total of c.2830 FTE EO Agents recruited/in place (Dec 23)
8) Advertising campaigns for external recruitment (ongoing)
9) Reserves lists / Equality Act / priority mover lists reviewed and utilised in line with TCR locations (ongoing)
10) Considering use of DWP Social Mobility Apprenticeship for EO inline with current recruitment policy (ongoing)
11) Management structure will be in place to support Agent onboarding, one month ahead of the EO recruitment profiled starts (ongoing)

Completed:
a) 430 FTE staff recruited (30/09/22)
b) Desks identified and agreed by the Workplace Transformation Board for the 2000 FTE agents.
c) Agents are now based in 14 locations (Nov 22).
d) 529 FTE EO Agents in post (31/12/22)
e) 632 FTE EO Agents in post (31/01/23)
f) Commission to Capacity Board for consideration/approval to recruit c.2000 FTE EO Agents by Sep 23 (17/02/23)
g) Submission to ET to approve recruitment of c.2000 FTE EO Agents by Sep 23 and c.2830 by Dec 23 (22/02/23)

Annexe 7: UC Programme Risk Management Methodology, Risk and Issue Guidance

UC Programme 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 with a full review of Risks on a quarterly 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

UC

	Impact Rating	Performance / Customer Service / Scope / Quality	Reputation	Cost / Schedule*
5	**Very High** 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. **Slippage of Level 0 Milestones** 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	**High** 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. **Slippage of Level 1 Milestones** Substantial equipment loss. Substantial increase in headcount, staff related costs, estates or IT. National Audit Office Management Letter. Moderate fraud, corruption or irregularity.
3	**Medium** 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. **Slippage of Level 2 Milestones** National Audit Office Comment on the Accounts. Some fraud, corruption or irregularity. Moderate increase in headcount, staff related costs, estates or IT.
2	**Low** 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. **Slippage of Level 3 Milestones** Small increase in headcount, staff related costs, estates or IT
1	**Very Low** 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. **No Schedule Slippage.** No or insignificant impact on headcount, staff related costs, estates or IT.

Likelihood / Impact risk matrix:

Likelihood					
5	5 Amber	10 Amber/Red	15 Amber/Red	20 Red	25 Red
4	4 Amber/Green	8 Amber	12 Amber/Red	16 Red	20 Red
3	3 Amber/Green	6 Amber	9 Amber	12 Amber/Red	15 Amber/Red
2	2 Green	4 Amber/Green	6 Amber	8 Amber	10 Amber/Red
1	1 Green	2 Green	3 Amber/Green	4 Amber/Green	5 Amber
	1	2	3	4	5

Impact

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

Prioritising an Issue

Priority Rating	Description	Resolution Tier
Major Issue *Not confident issue can be managed.* *Requires additional senior management attention.*	• Requires resolution and is critical to the Programme's progress. • There is impact on cost, delivery cannot be managed within the agreed timescale or there are key problems with internal/external partners which impacts upon delivery. Any combination of the above. • Impact on the Business Case and the Business Case has to be reviewed. • Insufficient Resources and a major impact on delivery needing senior management attention • Impact on benefits • Level 1 and 0 Milestone slippage • Serious stakeholder concern	**Programme Board**
Medium Issue *Confident issue can be managed.* *Requires some senior management attention*	• There is moderate impact on cost/ delivery/quality and reputation. • Cannot manage within the agreed timescale (however can still continue) or the internal/external partners are affected/not delivering to plan. Any of these combinations providing the Business Case remains valid. • Insufficient Resources having a short term impact on delivery. • Impacts more than one Strand • Prolonged internal attention with brief media coverage • Level 2 milestone slippage	**Programme Delivery Executive**
Minor Issue *Very confident issue can be managed*	• There is no/minimal impact on cost/delivery/quality and reputation • Can be managed within the Strands to agreed timescale and there is **no** effect on internal or external dependencies. • Temporary insufficient resources however delivery is not impacted • No media coverage • Lower level milestones not impacting level 0, 1, 2.	**Strand**