

Universal Credit

Programme Risk

RAP Ref Number	Current Programme Risk Rating			Impact Date	Project Assumption Xref	Risk Owner	Risk Action Manager	Date Risk Registered
	Impact	Likelihood	Risk Profile					
B&ITS1	5	4	20	09/05/2012		Bob Lovett	"personal information redacted"	13/09/2011
Current Strand Risk Rating								
	Impact	Likelihood	Risk Profile			Source Project	Source Sub-Project	
	5	4	20		UC	Security Team		
Risk Description	Cyber - Given Universal Credit represents a high value asset, exposed on a widely accessible potentially high vulnerability channel, there is a high risk of cyber attacks against the underlying service, leading to non-availability of UC through the online channel.						Planning milestone risk impacts: Leap 4 Release 7 Elaboration (UVC.B&IT S.ADC.15243); Leap 3 Performance Test Preparation (UVC.B&IT S.ADC.55)	
Assumption	There are adequate countermeasures within the UC service to resist a sustained cyber attack via the online channel.					Sensitivity	Stability	
						D	D	
Cause and Consequence	Cause: UC represents a high value asset which is exposed on a high vulnerability channel.						Risk Review Date	
							02/05/2012	
	Reputational Risk		Yes				Category	
	Consequence					Level 1		Level 2
	Non-availability of UC through the online channel.						Customer Service & Operational	Business Interruption
Business Report Visibility	Reason						Overall Status (Open / Closed)	
Programme Level Risk	Risk could have significant impact on costs and timelines.						Open	
Mitigation Manager	Activities/deliverables			Target date	Mitigations in plan (Y/N) & plan unique ID	Progress		Date Completed
"personal information redacted s40(2)"	Issue to be raised with the Design Authority, with a view to gaining decisions on relevant approach and controls. Objective: The mitigation will ensure that any potential design obstacles / constraints are understood across the architecture community, enabling design decisions around Cyber to be taken with a shared perspective of the issues to be addressed.			11/11/2011		13/9/11: Paper presented to Design Authority on 24/8/11 and range of risks discussed but no decisions made. Lack of decisions at Design Authority to be escalated to [s40(2) exemption] / Steve Dover. 28/9/11: Solution Design are producing an HLSO showing the E2E architecture; Programme Technical Elaboration meeting to be held in Warrington (28/9) to establish a full E2E design. Update 27/10/11: HLSO issued for impact by Solution Design. Programme Elaboration Workshops due to report on 4/11/11 with updated architecture. Update 10/11/11: Awaiting impact of Programme Elaboration output. Update 22/11/11: Programme Elaboration outputs received and are currently being impacted. This mitigation can be closed.		11/11/2011
"personal information redacted s40(2)"	UC Cyber Security Strategy to be drafted and agreed with stakeholders. Objective: The Strategy will include a set of security principles that will focus supplier attention on controls and counter measures required to reduce the potential for a successful Cyber attack.			15/12/2011		13/9/11: Drafting of strategy underway. Its purpose is "To define how system of specialist controls should be developed to mitigate the evolving Cyber Threat." 28/9/11: There is a dependency on issues escalated by [s40(2) exemption] to the Design Authority being decided upon, otherwise target production date is 4/10/11. Update 27/10/11: Programme Elaboration workshops have taken priority. They will deal with the high level issues in this area. The product draft will be completed by the beginning of December with a view to impacting with stakeholders and baselining before Elaboration workshops start in January 2012 covering security. Update 10/11/11: Principles from Cyber Strategy will be included in a workshop presentation planned for 15/12/11. Update 22/11/11: Principles on track for delivery. We will be ensuring that the outputs are reviewed / discussed with PIP before wider discussion with suppliers. Update 5/12/11: Principles drafted, ready as part of presentation to PIP / Counter Fraud / DST on 8/12/11 and to suppliers on 15/12/11. Update 3/1/12: Presentation delivered to PIP / Security stakeholders on 8/12/11 and to suppliers (architecture / testing on 18/12/11. There is now a		19/12/2011

"personal information redacted s40(2)"	Protective Monitoring and Alerting Design to be drafted and agreed with stakeholders. Update 22/11/11: Programme Elaboration outputs under review; materials on track for delivery for 15/12.	30/09/2011		Update 13/9/11: Drafting commenced. Its purpose is "To assure compliance with GPG and support end-to-end user/claimant accountability and non-repudiation" Update 28/9/11: Product will be available on 24/10/11. Workshop is being set up to discuss impacts with key stakeholders and suppliers. Update 27/10/11: Programme Elaboration workshops have taken priority. They will deal with the high level issues in this area. The product draft will be completed by the beginning of December with a view to impacting with stakeholders and baselining before Elaboration workshops start in January 2012 covering security. Update 10/11/11: Awaiting output from Programme Elaboration. Protective Monitoring principles will be included in supplier / stakeholder presentation planned provisionally for 15/12/11. Update 5/12/11: Protective monitoring work / slides progressed - will be delivered in presentations on 8/12 and 15/12. Solution Design has also produced a Security Design Pattern for Protective Monitoring which will provide a framework for more detailed design work around the PM solution. Update 3/1/12: Protective Monitoring and Alerting principles / architecture presented to suppliers on 19/12. What is now required is an impact from suppliers and architecture / testing.	19/12/2011
"personal information redacted s40(2)"	An architectural solution needs to be defined to remove real time dependencies. Where not possible critical services need to be identified and either moved offline (suitable processes defined) and/or incorporated into BCP. These application/business service changes needs to be agreed. Objective: Ensure architectural design minimises the DWP assets exposed to the Cyber threat.	30/10/2011		Update 13/9/11: [s40(2) exemption] has contacted Departmental BCP to outline this and other issues. He has also produced the draft UC IT Security Strategy presented to Design Authority by [s40(2) exemption]. Meeting to be arranged with [s40(2) exemption] to discuss the architectural approach. 28/9/11: Technical Elaboration Workshop arranged for 28/9; Architecture overview presentation arranged for 7/10/11. Update 27/10/11: Presentation given to stakeholders and suppliers on 7/10/11 and an overview of the SAD was provided by Accenture. High level issues will be addressed by Programme Elaboration (reporting 4/11/11). Security Team starting engagement with Departmental BCP team. Update 10/11/11: Work is ongoing - output will be presented to stakeholders / suppliers on 15/12/11. Update 22/11/11: Work on track for E2E presentation to suppliers of all security architecture capability principles on 15/12. Update 5/12/11: E2E architecture slides are drafted and will be presented to PIP / CFraud / DST on 8/12/11 and suppliers on 15/12/11. Update 3/1/12: Presentations completed 8/12 and 19/12. Slides provided to suppliers and options	19/12/2011
"personal information redacted s40(2)"	Business Impact Levels to be agreed to inform counter measures required. Objective: BIA scores will inform the type of countermeasures required to mitigate the cyber threat in vulnerable areas of the solution that will mitigate the potential impact of this risk.	23/12/2011		Update 13/9/11: BIA to be commenced - initial workshop suggested by IMM to give early view of likely requirements. Update 28/9/11: Issues around impact levels and the architecture have been raised with Design Authority - the issue will be considered as part of the Technical Elaboration Workshop and picked up within the HLSD. BIA will be handed over to the accreditation team on 31/10/11 as planned. Update 27/10/11: High level BIA on track for delivery. Decision required on who takes forward Accreditation activity post-ODR. Update 10/11/11: HL BIA to be issued this week; full BIA will be produced by 23/12/11. Arrangements in place for accreditation post-ODR and plan now being developed. Update 22/11/11: Initial BIA produced and review currently underway - work will be undertaken over the next 2 weeks to align the proposed architecture principles with the HL BIA outcomes. Update 5/12/11: HL BIA reviewed internally. Initial outcomes discussed with DST and some alignment undertaken with PIP. Key business stakeholders to review as next step. Update 3/1/12: Draft scores and potential implications discussed at meeting with PIP / DST on 8/12 and suppliers on 19/12. Some additional work is required to baseline the BIA and a watching brief will be required on any new security risks identified in the Cyber area but key next step is impact / options from suppliers.	19/12/2011

"personal information redacted s40(2)"	CESG to be engaged to provide expert advice and assurance around the proposed architecture. Objective: Engagement of 2 specialists endorsed by CESG in the Cyber area will add value to the understanding of specific lower level threats within this risk and in gaining support from the wider security community on the proposed mitigations.	01/10/2011		Update 13/9/11: [s40(2) exemption] has met with CESG. Requires agreement to regular engagement and commercial cover (being handled separately). Update 28/9/11: Individuals identified and agreed with CESG; meetings held with Commercials and Finance and terms of engagement drafted with a view to getting swift engagement. Update 10/11/11: 2 resources identified - 1 has accepted the position, a response expected imminently from the other - action can be closed if this is received. Update: 22/11/11: Start date for 1st member of staff agreed as 5/12/11; 2nd member of staff due to confirm appointment by 25/11 - an update will be provided at RRB. Update 5/12/11: 2 specialists recruited and in place - threat briefings arranged with GCHQ. Mitigation can now be closed.	05/12/2011
Bob Lovett	Commission the development of a Cyber Defence Management System (CDMS). Objective: To introduce a system which alerts DWP and its suppliers to a potential Cyber attack, enabling action to be taken to reduce the potential impact of this risk.	31/03/2012		Update 22/11/11: Initial discussions underway. Update 5/12/11: Potential solutions reviewed with potential suppliers. Commercial DM paper will also be required - Finance and Commercials engaged. Update 3/1/12: Requirements drafted. DM paper required to confirm commercial / supplier route; plan for CDMS delivery will be developed once supplier arrangements confirmed. Update: 17/1/12: Work undertaken to create a functional view of the UC Security Operation Centre (SOC) - a vision document will be produced by 3/2/12 to inform the Demand Management paper. Detailed costs / technical options / commercial proposals will be drawn up in February 2012 in consultation with suppliers. Update 9/2/12: Meeting held with suppliers on 6/2/12. Work now planned to put commercial cover in place and create detailed development plan. Update 2/3/12: Presentation made to Steve Dover on solution by suppliers. Costs will be required for Star Chambers by 12/3/12 Update 28/3/12: Joint supplier presentation covering initial milestones and outline costs on 19/3/12. Detailed plans and commercials will be required. Update: 24/4/12: Commercial cover requested through to 1/6/12. Discussions ongoing with Finance to confirm longer-term funding requirement.	
Bob Lovett	To co-ordinate supplier options and impacts to the Cyber and related material delivered on 19/12/11. Objective: To ensure options and issues identified by suppliers with the evolving security architecture and its underlying principles are properly and fully impacted.	31/01/2012		Update 3/1/12: Presentations completed 19/12/11; slide decks distributed securely to all suppliers (except HPES who have still to provide PGP key) - responses awaited. Next steps will be raised at IMM on 11/1/12. Update 17/1/12: HPES issue resolved. Discussions are being co-ordinated with the Infrastructure team with a view to having a clear understanding of options and potential issues within the required timelines. Update 9/2/12: Existing slide decks will be baselined on 10/2/12. This action can now be closed.	09/02/2012
"personal information redacted s40(2)"	To work with the newly established ADI function to agree the E2E security architecture. Objective: To ensure detailed design of cyber controls is in place to facilitate the procurement of test environments in line with the UC plan.	25/04/2012		Update 9/2/12: Workshop arranged by ADI to run from 20/2-24/2/12. Update 2/3/12: ADI workshops took place, discussions held here and with Infrastructure team and suppliers. Work ongoing around design - a call will be required imminently on whether additional security controls can be included with Leap 3 Performance environment. Update 28/3/12: An E2E security architecture pack was issued to suppliers w/c 12th March and discussions held following its issue. Given the link with the suppliers responses to the provisioning of environments, the issue was escalated at ITCB (28/3) and a workshop will be convened by ADI to resolve supplier queries and agree the architecture to enable procurement work to progress. Update 24/4/12: Supplier presentation on E2E architecture was made on 17/4/12; updated architecture diagrams have been provided to Security team (24/4) and are due to be assured / any gaps identified by 25/2/12.	
Date RRB approved closure	Closure Evidence				

For escalation			Reason: Sensitivity/stability		
Trend Analysis of Profile scores					Latest Update
	Date	Impact	Likelihood	Profile	
Inherent Rating		5	5	25	24/4/12: E2E security architecture has been presented to supplier cabal on 17/4/12, update by suppliers and is under review by the Security team (to be completed by 25/4).
Residual Rating	13/09/2011	5	4	20	
	28/09/2011	5	4	20	24/4/12 contd: Discussions being held with Finance to review budgetary requirements are critical (hence ongoing red 20 score).
	28/10/2011	5	4	20	
	10/11/2011	5	4	20	01/05/12 - workshop held to go through outstanding comments on the E2E Security Architecture - there's a 2 week plan inplace to take forward Leap 4 and Leap 5 issues.
	22/11/2011	5	4	20	
	06/12/2011	5	4	20	
	03/01/2012	5	4	20	
	17/01/2012	5	4	20	
	09/02/2012	5	4	20	
	22/02/2012	5	4	20	
	02/03/2012	5	4	20	
	28/03/2012	5	4	20	
	24/04/2012	5	4	20	

RAP Ref Number	Current Programme Risk Rating			Impact Date		Project Assumption Xref	Risk Owner	Risk Action Manager	Date Risk Registered
	Impact	Likelihood	Risk Profile						
B&ITS2	4	4	16	09/05/2012			Steve Dover	Bob Lovett	08/09/2011
	Current Strand Risk Rating								
	Impact	Likelihood	Risk Profile			Source Project		Source Sub-Project	
	5	4	20			UC		Security Team	
Risk Description	Fraud: If adequate prevention and detection and technical controls are not built in to the UC solution, fraudulent activity may be successfully perpetrated against UC leading to significant financial losses.						Planning milestone risk impacts:		
Assumption	The UC service is able to prevent, detect, correct , punish and deter fraudulent activity					Sensitivity	Stability	Leap 4 Release 7 Elaboration (UVC.B&IT S.ADC.15243); Leap 3 Performance Test Preparation (UVC.B&IT S.ADC.55)	
						D	C		
Cause and Consequence	Cause:						Risk Review Date		
	Adequate prevention and detection technical controls are not built into the UC solution.						02/05/2012		
	Reputational Risk		Yes				Category		
	Consequence						Level 1		Level 2
	Significant financial losses.						Legal & Crime		Business Interruption
Business Report Visibility	Reason						Overall Status (Open / Closed)		
RRB Programme Level Risk	Could significantly impact the successful implementation / live running of the system.						Open		
Mitigation Manager	Activities/deliverables			Target date	Mitigations in plan (Y/N) & plan unique ID	Progress			Date Completed
"personal information redacted s40(2)"	Draft scope statement for IRIS with the associated UC requirements. Impact with key stakeholders. Objective: To ensure UC Counter Fraud requirements needed to mitigate this risk are understood by the CF Programme.			15/09/2011		Update 13/9/11: Joint IRIS / UC workshops held to discuss scope and high level requirements; draft scope document will be produced by 15/9. Update 28/9/11: Meeting arranged in Birchwood for 29/9/11 with IRIS / UC to review anticipated scope / requirements and architecture overview. Update 4/10/11: Scope statement and UC requirements of IRiS will be available for wider discussion on 7/10. Update 27/10/11: Scope statement / requirements document issued for impact and discussion. Update 10/11/11: More detailed work around requirements now ongoing - as the high level view of UC doing online and Counter Fraud doing offline, action can be closed.			10/11/2011

F&E Programme	<p>Alignment of UC / IRIS plans - confirmation required that IRIS will deliver functionality in line with UC delivery timelines.</p> <p>Objective: To ensure UC counter fraud requirements are delivered on time to mitigate the lower level risks at the point of go live.</p>	16/04/2012		<p>Update 13/9/11: SDI resource deployed to assist IRIS with planning. IRIS will produce a plan / confirm planning milestones ahead of its Gate 0 in early October 11.</p> <p>Update 28/9/11: Key dates identified with IRIS through planning workshop (Gate 0 for IRIS will be Portfolio Board on 17/11/11). IRIS has an urgent need for a planning resource to bring their programme plan together. SDI are discussing this requirement with Bill Parnham.</p> <p>Update 27/10/11: Agreement reached with Counter Fraud that offline and the risk scoring elements of the development will be delivered by the CF Programme for UC and PIP but online functionality for UC and PIP will be controlled by UC. Bids will need to be submitted and adjustments will be required to the UC Business Case. A co-ordination team has been set up with SDI resource (1 IBM resource will be added). A fully aligned plan is due from SDI on 5/12/11.</p> <p>Update 10/11/11: IBM Project Manager appointed; work advancing to meet the 5/12/11 date for the plan.</p> <p>Update 22/11/11: Plans in development; work underway to align UC / CF architecture.</p> <p>Update 5/12/11: Draft plans produced by SDI and IBM, reporting in place via IMM. Counter Fraud will need to confirm long-term funding arrangements in place as well as deliverability of plan - programme is due to report back to Board in February 2012.</p> <p>No confirmation yet that the Counter Fraud programme will be able to deliver the offline</p>	
"personal information redacted s40(2)"	<p>Fraud and Error resource to be included in Planning and Elaboration workshops from Leap 3 onwards.</p> <p>Objective: To ensure controls and mitigations developed within UC are consistent with the wider objectives of the Counter Fraud programme.</p>	30/09/2011		<p>Update 13/9/11: F&E staff attending Leap 3 workshops.</p> <p>Update 28/9/11: Workshop engagement with F&E continues. Agreement on workshop dates awaited to confirm resources for all workshops. This will be picked up at the UC / IRIS meeting on 29/9/11.</p> <p>Update 27/10/11: CF have continued to support workshops. Suggest this action is now completed.</p> <p>Update 10/11/11: Engagement continues.</p> <p>Update 5/12/11: Joint working around architecture has continued - ISA produced. Counter fraud architect and PM invited to security principles presentation and discussion on 8/12/11.</p> <p>Update 3/1/12: CF architect attended presentation on 8/12. Architectural engagement established. CF resources attending elaboration workshops. This activity is now BAU - mitigation can be closed.</p>	03/01/2012
Bob Lovett	<p>To manage and fund "on line" Counter Fraud solution for UC.</p> <p>Objective: To ensure critical controls required within the UC solution are identified and managed by UC.</p>	31/01/2012		<p>5/12/11: SDI and IBM have taken forward this work. An ADR has been drafted and sent to IBM for future work. Funding confirmed by Programme Board 5/12.</p> <p>Update 3/1/12: Short-term funding issues addressed and commercial cover progressed. High level plan and approach discussed and way forward agreed. Position will be monitored and plan / deliverables reviewed at the end of January (CF is due to return to the Board in February).</p> <p>Update 17/1/12: Work is progressing; an additional resource has been supplied by UC to support the current architecture work in this area.</p> <p>Update 21/2/12: Architecture inputs on behalf of UC are being managed by UC Security Team (Charlie Boundy). One the plan has been baselined this mitigation will become BAU.</p> <p>Update 2/3/12: Awaiting confirmation of plan agreement etc at Programme Board in March.</p> <p>Update 28/3/12: IRIS date now in April - draft dates are available.</p> <p>Update 24/4/12: IRIS has passed its Gate 0, mitigation closed off.</p>	02/04/2012

[illegible]

RAP Ref Number	Current Programme Risk Rating			Impact Date	Project Assumption Xref	Risk Owner	Risk Action Manager	Date Risk Registered
	Impact	Likelihood	Risk Profile					
B&ITS3	4	4	16	16/04/2012		Steve Dover	Bob Lovett	13/09/2011
	Current Strand Risk Rating							
	Impact	Likelihood	Risk Profile			Source Project	Source Sub-Project	
	5	3	15		UC		Security Team	
Risk Description	Online: If UC is unable to establish trust in a claimant's online identity and personal data, Customers may be given access to UC resources to which they are not entitled leading to an increased risk of fraudulent activity.						Planning milestone risk impacts	
Assumption	UC will have a clear understanding of the levels of trust that can be put on claimant identity and claimant data provided through the online channel				Sensitivity	Stability	Leap 4 Release 7 Elaboration (UVC.B&IT S.ADC.15243); Leap 3 Performance Test Preparation (UVC.B&IT S.ADC.55)	
					D	C		
Cause and Consequence	Cause:						Risk Review Date	
	UC is unable to establish trust in the claimant's online identity and personal data.						03/06/2012	
	Reputational Risk		Yes		Category			
	Consequence		An increased risk of fraudulent activity.				Level 1	Level 2
Business Report Visibility	Reason						Overall Status (Open / Closed)	
RRB Strategic risk	The risk has the potential to impact design, increase costs and increase the risk of fraudulent activity within UC.						Open	
Mitigation Manager	Activities/deliverables			Target date	Mitigations in plan (Y/N) & plan unique ID	Progress		Date Completed
"personal information redacted s40(2)"	Establish what the Cabinet Office IDA solution will deliver / confirm delivery timescales. Objective: Ensure the required IDA solution is in place in time for UC go live, reducing the impact on the customer journey.			01/10/2011		Update 13/9/11: [s40(2) exemption] engaged in regular meetings with Cabinet Office. [s40(2) exemption] has met with [s40(2) exemption] (CO IDA Lead) - some concerns that suggested Public RFC approach may impact desired timelines. Interim design considered appropriate - a CESG paper is expected imminently. Update 28/9/11: CESG comments received. [s40(2) exemption] attending next stage meeting on 28/9 in Whitehall - mitigation will be reviewed after the meeting. Update 27/10/11: Cabinet Office has confirmed the cross-Government solution will not be available within UC timescales. Work underway to produce high level timeline and plan for a DWP-driven solution.		27/10/2011
"personal information redacted s40(2)"	A trust model will be defined to constrain what can be done online for users of different assurance levels. Objective: Provide clarity to suppliers and DWP stakeholders around the constraints created and the risk based assurance mechanism to follow in the development of the UC solution.			30/10/2011		Update 13/9/11: Product description developed. Update 28/9/11: Trust Model draft commenced; workshop for presentation to stakeholders identified on the plan. Update 27/10/11: Issue fed in to Programme Elaboration which will report on 4/11/11. Full product will be developed during November ahead of workshops covering security elaboration starting in January. Update 10/11/11: Trust model will be covered in the presentation to be given to stakeholders / suppliers provisionally scheduled on 15/12/11. Update 22/11/11: Work on track for delivery. Update 5/12/11: Trust model will form part of the presentation to PIP / Counter Fraud / DST on 8/12/11 and to suppliers on 15/12/11. Update 3/1/12: Presentations delivered to stakeholders on 8/12 and to suppliers on 19/12; trust model material also delivered in to Leap / Release Planning. Mitigation can be closed.		03/01/2012

Agile Teams (input from Security Team)	Deliver UC application processes and supporting offline services which can deal with users with low online identity assurance. Objective: Ensure adequate IT and business controls are applied to mitigate the risks associated with different levels of trust.	03/01/2012		Update 13/9/11: Security Team engaging with Agile teams - issue being highlighted. Update 28/9/11: Input will be provided to all Leap / Elaboration workshops - short-term resourcing problem for the Security team. Update 27/10/11: Security input provided to current round of Elaboration workshops. Security has been planned for detailed elaboration work starting 3/1/12. Update 22/11/11: Input to workshops continues. Update 5/12/11: Continued feed into Elaboration workshops - more detailed material will be developed for Leap 4 in January. Update 3/1/12: Stories A35 & 151 submitted and remain in scope - BAU for elaboration workshop - mitigation can be closed.	03/01/2012
Strategic Design Authority.	Acceptance that 'pre-population' will necessarily need to be very limited in some scenarios. Objective: To ensure data is displayed in line with the perceived risks around trust.	30/09/2011		Update 13/9/11: Issue escalated with Design Authority by [s40(2) exemption]. Design Authority steer required. Update 28/9/11: Pre-population issue and proposal flagged by [s40(2) exemption] ahead of the Technical Elaboration workshop on 28/9/11. Update 27/10/11: The issue has been included in the draft design principles issued to Stefan Czerniawski for review and comment. Update 10/11/11: Issue is ongoing - detail of how principle will be applied will be discussed in Elaboration workshops. Update 22/11/11: Principles in place, will need to be applied as scenarios arise. Update 3/1/12: Detail of how principles apply will be an ongoing issue for the Elaboration workshops. Suggest closure of mitigation as this should now be handled BAU through those workshops.	03/01/2012
Bob Lovett	To develop plans and secure funding for the DWP driven IDA solution. Objective: In the absence of a Cabinet Office solution, ensure a suitable identity solution is designed / planned for UC go live.	31/03/2012		5/12/11: Solution and plans reviewed internally and by Cabinet Office. Funding for longer-term needs to be confirmed. Update 3/1/12: Meeting held 15/12 to discuss costs. OJEU notice delayed 4 weeks to enable Cabinet Office impacts - some replanning underway to reflect delay. Commercial and technical discussions are underway internally between suppliers to confirm who / how the solution will be delivered. Update 17/1/12: Revised dates for completion of OJEU work provided by Cabinet Office. DWP looking to shorten this if at all possible - replanning of IDA started and workshop arranged 18/1 to consider impact of IDA on Infrastructure. 21/2/12: OJEU is expected to be re-issued on 24/2/12. Discussion held with Finance around funding profile on 21/2/12 - follow up arranged for 16/3 in line with Star Chambers. Update 2/3/12: OJEU issued and plan revised. Costs to be submitted to Star Chambers on 12-14/3. Update 28/3/12: A large number of responses have been received in response to the OJEU. Supplier costs have been submitted via Star Chamber and will be validated for the deadline of 29/3/12. Update 24/4/12: DWP senior management and Cabinet Office are currently reviewing the ITT and OJEU responses with a view to agreeing next steps.	
Date RRB approved closure	Closure Evidence				
For escalation			Reason: Sensitivity/stability		
Trend Analysis of Profile scores				Latest Update	
	Date	Impact	Likelihood	Profile	20/03/12: Responses are awaited to the OJEU issued for IDA. Financial impacting is underway following presentations by existing suppliers to the Star Chambers w/c 12th March.
Inherent Rating					
Residual Rating	08/09/2011	4	4	16	28/3/12: OJEU responses received; funding issues under review.
	28/09/2011	4	4	16	
	10/11/2011	4	4	16	
	05/12/2011	4	3	12	24/4/12: Awaiting delivery plan from the project team. A review of the ITT and OJEU has been held between DWP senior management and Cabinet Office.
	03/01/2012	4	3	12	
	17/01/2012	4	3	12	
	22/02/2012	4	3	12	
	02/03/2012	4	3	12	
	28/03/2012	4	3	12	
	24/04/2012	4	4	16	

RAP Ref Number	Current Programme Risk			Impact Date	Project Assumption Xref	Risk Owner	Risk Action Manager	Date Risk Registered	
	Impact	Likelihood	Risk Profile						
PSD61	5	3	15	29/06/2012		Katherine Courtney	Richard West	27/03/2012	
	Current Strand Risk Rating								
	Impact	Likelihood	Risk Profile			Source Project	Source Sub-Project		
	5	3	15						
Risk Description	There is a risk that claimants will not become financially independent (and responsible), as envisaged in the White Paper and Business Case, even assuming the delivery of new products, tailored support and with agreed processes for exceptions from the main financial defaults.						Planning milestone risk impacts: HB Demo - June12 Pathfinder - April 13 UC Go-live - October 13		
Assumption	1. There will be a suitable set of financial products in place in time for the key UC Go Live dates - June 12, April 13, Oct 13 to enable claimants to choose an appropriate "fit for purpose" product for them. 2. There will be a suitable range of personal budgeting support arrangements in place for the UC Go Live dates (June 12, April 13, Oct 13) to enable estimated demand to be met, based on claimant and business need. 3. There will be a suitable and operable end to end exceptions service in place for the UC Go Live dates June 12, April 13, Oct 13.					Sensitivity	Stability		
						C	C		
Cause and Consequence	Cause: 1. Many claimants are "un-banked" or choose to be so due to debt levels and the risk of recovery from any payments in to bank accounts, and even those that have a bank account or a POCA will find it is not "fit for purpose" for UC. 2. Claimants are used to having their rent paid for them and receiving payments on a mainly weekly or two-weekly cycle. 3. Many claimants also don't cope well with their finances and may find this exacerbated by UC being paid on a monthly cycle. 4. Our strategy depends to a large extent on external sources for the creation of new financial products. We won't know until April/May whether there is likely to be a commercially viable market for these next generation banking products. 5. We are also very dependent on external organisations for the delivery of budgeting support. 6. There may be many claimants who consider themselves to be an 'exception' leading to that service becoming oversubscribed (versus estimates and/or ministerial expectations). This may be exacerbated by the attitude and behaviours of representative organisations.						Risk Review Date		
							01/05/2012		
	Reputational Risk			Yes	Category				
	Consequence			Level 1					Level 2
	1. Money paid for housing will not be paid to landlords 2. Arrears for the claimant (and possible eviction) 3. Loss of income stream for the Landlord. 4. With larger payments claimants may find themselves in correspondingly bigger debt 5. More pressure on crisis loans etc. 6. Percentage of claimants who are vulnerable to financial difficulty, exclusion and/or abuse/crime may increase.						Strategy	Customer Service Risk	
Business Report Visibility	Reason						Overall Status (Open / Closed) Open		
Mitigation Manager	Mitigations		Target date	Mitigations in plan (Y/N) & plan unique ID	Progress			Date Completed	
"personal information redacted s40(2)"	GENERAL - Introduce a dedicated team within the Programme whose sole aim is to deliver a Personal Budgeting strategy that enables claimants to succeed		1 December 2012 (partial) 2 - 31/05/2012 (full)	NA	Team in place, although there are 5 agreed vacancies.				
"personal information redacted s40(2)"	GENERAL - Personal Budgeting Strategy developed and approved.		08/05/2012	UVC.PSD.SD.7469 - Strategy Approved	Strategy has been out for two rounds of QR and has been positively received. It is on track for sign off on 8th May				
"personal information redacted s40(2)"	GENERAL - PB requirements captured as Service Design Chapters within the overall Migration Design through to Core or Migration Agile Design as appropriate.		31/05/2012	UVC.PSD.SD.7771 - Financial Products Requirements UVC.PSD.SD.7533 - Produce Support Requirements UVC.PSD.SD.7630 - Exceptions Policy Design Specification	Plan for high level design agreed with target date of end May. This will be delivered for Managed Migration as part of the Joint Migration Design arrangements in place that spans [s40(2) exemption], Tim Carter's and Richard West's teams. Discussions are continuing as to how it will be delivered for New Claims and Natural Migrations within Preparation.				
"personal information redacted s40(2)"	GENERAL - Extensive stakeholder engagement has started in each of the three main workstreams		30/04/2012 & Ongoing	UVC.PSD.SD.7780 - Research & Supplier engagement UVC.PSD.SD.7664 - Stakeholder Assessment of Exception criteria	Engagement Strategy developed for Financial Products as a separate product and Exceptions plans to conduct a Stakeholders assessment of the proposed risk categories and methodology. Engagement activity is included within the overall approach for Budgeting Support (e.g. the Supplier Analysis requires engagement by definition). Formal external Engagement arrangements are in place via an Advisory Group - the Support & Exceptions Working Group (SEWG) which meets monthly.				
"personal information redacted s40(2)"	FINANCIAL PRODUCTS - External consultancy engaged for resource to explore options for commercialising financial products to ensure the viability of this approach.		11/05/2012	UVC.PSD.SD.7811 - Financial Products Report of Findings	Deloitte's now in place from 5th March. Interim Report due by first week in April with Final Report in early May				
"personal information redacted s40(2)"	FINANCIAL PRODUCTS - Working with a range of providers to explore support products and services.		28/09/2012	UVC.PSD.SD.7771 - Financial Products Requirements UVC.PSD.SD.7780 - Research & Supplier engagement	Following on from the Deloitte Report we plan to engage with the financial products markets (private and social) to ensure the widest possible products development so that each claimant segment has a choice of at least two possible financial products and can select one that best meets their needs. From high street banks to credit unions.				

"personal information redacted s40(2)"	FINANCIAL PRODUCTS - Use (Deloitte) consultancy, using our Service Proposition, to Test the market response	31/05/2012	UVC.PSD.SD.7811 Financial Products Report of Findings	Deloitte have produced an interim report which has been discussed with the SLT and other relevant stakeholders. Final Report is due on 27th April. Thereafter there will be a follow up SLT workshop on the 1st of May and a final session with Lord Freud on 3rd May.	
"personal information redacted s40(2)"	FINANCIAL PRODUCTS - Conduct claimant Testing, including Live Innovation Trials	31/12/12 (for PF) 31 July 13 (for Main Go Live)	UVC.PSD.SD.7833 Financial Products Implementation Plan completed	Plans are being developed to test claimant reaction to the possible financial product solutions that are being developed to help assess potential barriers to take up, adoption and use. This will be included within an overall Roadmap being delivered as part of the Dolomite Report that will then inform an Implementation Plan.	
"personal information redacted s40(2)"	BUDGETING SUPPORT - Work under way with analysts to drive out volumes for each of the claimant segments. Will share with the Minister on 24th April	30/04/2012	UVC.PSD.SD.7515 - Segmentation Approach	A segmentation approach and provisional segmentation has been completed and QR'd internally with key stakeholders. It will be included in the materials for the Budgeting Support session on the 24th	
"personal information redacted s40(2)"	BUDGETING SUPPORT - Commission (and if need be pay for) additional external budgeting support capability, especially in the face to face channel	Review at end of June 12. Needs to be in place for: End January 13 (for PF) End July 13 (for main Go live)	UVC.PSD.SD.7533 - Produce Support Requirements UVC.PSD.SD.7545 - Produce Supplier Assessment UVC.PSD.SD.7553 - Produce Supplier Gap Assessment	Although we have yet to complete the analysis the emerging view from the Cabinet Office, who have been doing work in this area already, is that even the face to face service which is place today (which may not itself be adequate) is under pressure due to funding pressures arising from changes made by OGDs and LAs. To be discussed initially at Ministerial workshop on 24th	
"personal information redacted s40(2)"	BUDGETING SUPPORT - Submit additional bid to Business Case or DWP or Treasury once Demand for support is fully estimated	End July 12	Not yet in plans	This will only be considered if the gap is sufficient to warrant it and it is believed to be the only way of mitigating the risk. A key assumption up to this point is that the support is "out there" and we don't need to fund (double fund)	
"personal information redacted s40(2)"	B. SUPP. & PAYMENT EXCEPTIONS - Mandate the use of the CRAT for all claimants and the Exceptions Risk Scoring for all in the relevant Segments.	29/06/2012	UVC.PSD.SD.7487 - Claimant Assessment Tool	These proposals are part of the input to the Ministerial workshops on 24th April and 1st May. If accepted they will be progressed within the High Level Design.	
"personal information redacted s40(2)"	B. SUPP. & PAYMENT EXCEPTIONS - Develop mechanisms to "reward" positive claimant behaviours and "punish" errant budgeting behaviours	28/09/2012	Not yet in plans	This will be considered as part of the design for Budgeting Support and Payment Exceptions, beginning with High Level Design in May. Not yet in plans	
"personal information redacted s40(2)"	PAYMENT EXCEPTIONS - Ensure the non-automated design and processes are fit for purpose and are suitably tested.	31/01/12 (for PF) 31/07/13 (for main Go Live)	Not yet in plans	This will be considered as part of the design for Budgeting Support and Payment Exceptions, beginning with High Level Design in May. Not yet in plans	
Date RRB approved closure	Closure Evidence				
	Trend Analysis of Profile scores			Latest Update	
	Date	Impact	Likelihood	Profile	
Inherent Rating					
Residual Rating					

Programme RAP Ref Number	Current Programme Risk Rating			Impact Date	Project Assumption Xref	Risk Owner	Risk Action Manager	Date Risk Registered
	Impact	Likelihood	Risk Profile					
PSD055	4	3	12	30/04/2013		"personal information redacted s40(2)"	"personal information redacted s40(2)"	15/09/2011
Strand/Team RAP Ref Number	Current Strand Risk Rating			SRA Risk?	SRA Inherent Risk Impact (Days)	SRA Residual Risk Impact (Days)	Workstream	Overall Status (Open / Closed)
	Impact	Likelihood	Risk Profile					
SS&AT055	5	3	15					Open
Risk Description	UC Design and Build cannot be sufficiently assured against the strategic intent as specified within the Policy and UC Design							The Planning Milestone / Activity that the Risk Impacts
Assumption	The design of the UC service is able to be assured at all levels against its strategic design intent and high level design principles. (PSD012)						Sensitivity	Stability
							C	C
Cause and Consequence	Cause: Assurance of universal credit design and build needs to be done against the design specification. Any areas of unclear or unstable where policy and strategy mean that assurance needs to take place on assumptions or incomplete information, which may change at a later date, meaning design is not correct							Risk Review Date
	Reputational Risk							03/05/2012
	Consequence							Category
	We may not be able to assure design against policy and strategic intent. Considerable re-work will be required to identify and correct design failings or where there are gaps in policy and strategy decisions, entailing additional costs and/or delays to design for Pathfinder and Go Live. Reputational damage at national level. Claimant experience compromised and sub-optimal. Where Service Design and Strategic questions have not been defined, this may delay the agile development programme or result in a lack of readiness for individual user scenarios							Level 1 Level 2
								Change Programme & Project Delivery
Mitigation Manager	Mitigations/Deliverables		Target date	Mitigation in Project Plan (Y/N)	Project Plan Unique ID	Progress		Date Completed
"personal information redacted s40(2)"	Instigate work to understand the gaps that exist around strategic design assurance		30/09/2011	No		Aim to update UC Design Authority on 21/09/2011		Complete
"personal information redacted s40(2)"	Baseline design assurance Strategy and Framework as Design Authority		30/11/2011	No		Design and Assurance Authority have baselined the Design Assurance strategy and Framework and it has been communicated to SDA		30/11/2011
30/11/2011	Establish assurance processes		30/11/2011	No		Assurance meetings for pre and post build in place and assurance reports produced for Design & Assurance Authority (DAA)		30/11/2011
"personal information redacted s40(2)"	Existing design packs including policy design specification are being used to assure design and build		12/12/2011	No		This is in place. Policy colleagues are in attendance at every assurance meeting to ensure		01/12/2012
"personal information redacted s40(2)"	Develop assurance processes		09/01/2012	No		Planning and stakeholder feedback has identified further work to complete details assurance strategy and framework. Communicated in update on design assurance progress to SDA		09/01/2012
"personal information redacted s40(2)"	From Release 8 the full design spec will be available to assure design		28/02/2012	No		Working with Service Design [s40(2) exemption] to track progress		
"personal information redacted s40(2)"	Develop assurance processes		28/02/2012 26/04/2012			Service test (model office) work to be aligned with Design Assurance process. Update 20/04/2012 [s40(2) exemption] - [s40(2) exemption] has organised a workshop for 26th April to cover Alignment/Testing/Piloting/Feedback Loops which will help manage this.		
"personal information redacted s40(2)"	Ensure assurance process is extended to include all suppliers, KMS and business		31/03/2012	No		Update 05/03/2012 - [s40(2) exemption] - Assurance scheduling board is now in place and meeting fortnightly to establish the forward plan from all suppliers for post build assurance. - A new assurance process has been introduced which allows more time in pre-build assurance, so that any areas of policy and strategy that need to be clarified can be addressed and input to the design. - More artefacts will be available for pre-build assurance, giving policy and strategy stakeholders greater understanding of the design and better confidence that it is meeting the intent. - Agile Factory processes, (SPE, scheduling board) ensure areas of scope where policy and strategy are not ready do not go into elaboration. - Welfare reform bill has been passed by parliament, giving more stability in the policy area		31/03/2012
"personal information redacted s40(2)"	Agile factory held first Assurance scheduling board call on 07/02/2012, to drive forward cross supplier and business assurance of design and build. First multi-supplier assurance session planned for 23/02/2012 (with Accenture and IBM)		23/02/2012			Update 20/04/2012 - Meetings take place on a fortnightly basis. Now part of business as usual.		Complete

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					Programme RRB 03/04/2012 No new actions given.
					RRB 25/04/2012 The board agreed that the new RAM should be [s40(2) exemption] replacing [s40(2) exemption]. As with risk SS&AT056 we are working with Policy colleagues on improving the Acceptance Criteria although there are no planned activities as yet.

Programme RAP Ref Number	Current Programme Risk Rating			Impact Date	Project Assumption Xref	Risk Owner	Risk Action Manager	Date Risk Registered
	Impact	Likelihood	Risk Profile					
PSD056	4	3	12	30/04/2013		"personal information redacted s40(2)"	"personal information redacted s40(2)"	25/11/2011
Strand/Team RAP Ref Number	Current Strand Risk Rating			SRA Risk?	SRA Inherent Risk Impact (Days)	SRA Residual Risk Impact (Days)	Workstream	Overall Status (Open / Closed)
	Impact	Likelihood	Risk Profile					
SS&AT056	5	3	15					Open
Risk Description	The UC Design Specification may not be sufficiently defined to ensure the design meets policy and strategic intent							The Planning Milestone / Activity that the Risk Impacts
Assumption	The design of the Universal Credit service offering will reflect the strategic intent. (PSD017)					Sensitivity	Stability	Pathfinder start - 30/04/2013 UC Go-live - 31/10/2013
						C	C	
Cause and Consequence	Cause: Design of the Universal Credit offering has continued to proceed whilst the processes and plans for developing and assuring the content of the Service Design Specification - part of the overarching UC Design Specification product - have continued to be developed, alongside obtaining appropriate contributions from key stakeholders, i.e. insight, business architecture, policy							Risk Review Date
	Reputational Risk Yes Consequence							03/05/2012
								Category
	Design will not deliver the policy and strategic intent. Considerable re-work will be required to correct design failings or where there are gaps in policy and strategy decisions, entailing additional costs and/or delays to design for Pathfinder and Go Live. Reputational damage at national level. Claimant experience compromised and sub-optimal. Where Service Design and Strategic questions have not been defined, this may delay the agile development programme or result in a lack of readiness for individual user scenarios							Level 1 Level 2 Change Programme & Project Delivery
Mitigation Manager	Mitigations/Deliverables		Target date	Mitigation in Project Plan (Y/N)	Project Plan Unique ID	Progress		Date Completed
"personal information redacted s40(2)"	Widening stakeholder input, assurance and approvals process for UC Service Design Specification		22/03/2012	No		Update 15/3/12 [s40(2) exemption] - Note to UC and departmental stakeholders (Directors) to request input and nominate representatives to assure and approve UC Service Design Specification chapters (deadline 13/3/12). Release 9 chapters will be forwarded to this stakeholder community, sign off by 22/3/12. Update 28/3/12 [s40(2) exemption] - UC SDA decision on 15 March agreed stakeholder consultation process, which started with Release 9 Service Design Specification		22/03/2012
"personal information redacted s40(2)"	Developing processes and plans to develop and assure Service Design Specification chapters to support each A level user scenario in each Release		28/02/2012	Yes	R9 - UVC.SD.PSD. 6312; R10 - UVC.DS.PSD. 6313; R11 - UVC.SD.PSD. 6314; R12 - UVC.SD.PSD. 6317	Target of end February to have plans in place up to Release 12. Release 8 plans already in place. Draft plans for Releases 9 - 12 currently in development. Update 2/2/12 [s40(2) exemption] - still on track, although this may be impacted by new ways of working. Update 6/3/12 [s40(2) exemption] - R9 - 12 dates now available and placeholders for milestones for Service Design Specification development are in current plans. Lower level plans are in development to support these milestones		28/02/2012
"personal information redacted s40(2)"	Developing processes and plans to ensure appropriate Service Design input is included in Policy Design Specification to support each A level user scenario in each Release		28/02/2012	Yes	R9 - UVC.SD.PSD. 6312; R10 - UVC.DS.PSD. 6313; R11 - UVC.SD.PSD. 6314; R12 - UVC.SD.PSD. 6317	Target of end February to have plans in place up to Release 12. Release 8 plans already in place. Draft plans for Releases 9 - 12 currently in development. Update 2/2/12 [s40(2) exemption] - still on track, although this may be impacted by new ways of working. Update 6/3/12 - Working closely with UC Policy Design team to ensure appropriate Service Design input is commissioned and delivered for each Release. Development will be in line with Service Design Specification, so will align with R9 - R12 milestones		28/02/2012
"personal information redacted s40(2)"	Developing processes and plans to ensure all information is passed timeously to relevant Product Owners, links made with chapter leads/authors to ensure clear understanding of Service Design for each A level user scenario by Release and feedback loop in place to test usability of chapters in agile design to ensure continuous improvement		28/02/2012 20/04/2012	No		Initial discussion on 17/1/12 with Lead Product Owner [s40(2) exemption], further discussions planned on 24 January (to also include [s40(2) exemption], Lead Product Owner). Update 2/2/12 [s40(2) exemption] - Discussion on 24 Jan took place. Working together on processes to ensure UC Design Specification reaches all PO's who need it. Process still in draft. Update 6/3/12 [s40(2) exemption] - Processes now in place to link up with relevant Product Owners, with regular telekits planned for R9. Meetings will be arranged to support R10 - 12 when appropriate. These meetings will also be used to provide a feedback loop on usability of chapters. New processes will be required to take account of reorganisation of Policy & Service Design (move of Product Owners to Richard West's new Service Design team) to formally take receipt of Service Design Specification chapters. Estimate this will take until around mid April to discuss, agree and implement. Update 28/3/12 [s40(2) exemption] - Arrangements now in place to provide Service Design Specification to SPE community (including Assurance Team) ready for the start of each Release. Meetings being arranged by [s40(2) exemption] to download Service and Policy Design to SPE community for Release 9. Will be engaging with Richard West and team asap		
"personal information redacted s40(2)"	Developing chapter headings for outstanding strategic and service design topics that may or may not be driven by Release A level scenario requirements. This will enable a prioritisation exercise on work to be completed to support agile plans		28/02/2012 19/03/2012	No		Update 2/2/12 [s40(2) exemption] - Chapter headings in draft, this will be ready for consultation with UC Service Design lead in w/c 6 Feb. Update 6/3/12 [s40(2) exemption] - Awaiting feedback from UC Service Design lead. Bringing together full product based draft content. This will now be ready for Release 9 starting on 19 March		19/03/2012

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