

Fraud Referral and Intervention Management System (FRAIMS)

Security Operations Group Briefing

21st May 2009

FRAIMS Release 2 Project



➤ Objectives

➤ Release 2 Background

➤ Release 2 Functionality & Benefits

➤ Implementation Approach & Dependencies

➤ Summary / Next Steps

➤ Appendix

- There are four main objectives for today's session:
 - Update on the progress of FRAIMS Release 2 with respect to functionality and usage for Local Authorities.
 - To give an understanding of the functionality developed for Local Authorities and the benefits it brings.
 - To give details of a proposed implementation approach for the new FRAIMS 2 functionality.
 - Seek confirmation from the Security Operations Group on how we progress with implementing this functionality.



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- **The Release 2 Feasibility Study undertaken in March 2008 was built around 3 main drivers:**
 - **Strategic:** Extending the use of FRAIMS to achieve long term Department objectives
 - **Operational: Functional enhancements to improve the usability and efficiency of the application**
 - **Technical:** Performance, Capacity and Operability changes to “future proof” the application
- **The use of FRAIMS within the Local Authorities was considered under the strategic banner and highlighted as bringing efficiency, work removal and data quality benefits.**
- **This led to Local Authorities being included in the Release 2 requirement gathering workshops and a 3 day requirements workshop was conducted in Leeds on the 28th July 2008.**
- **This workshop had representation from 3 Local Authorities (Leeds City Council, Manchester City Council, City of Bradford Metropolitan District Council) and DWP Partnership Division along with FRAIMS project staff.**

Release 2 Workshop Findings

The 3 day workshop identified a high number of potential FRAIMS requirements with 6 common themes

- The Local Authority Workshop identified a large number of requirements for FRAIMS Release 2 and identified significant business benefits in tracking all LA cases with DWP interest on FRAIMS.
- The requirements all focused on improving the 'joint working' processes – automating frequent handoffs, enabling exchange of key data, joint outcomes and reducing clerical process all of which impact on achieving targets.
- A number of requirements were also identified which addressed case tracking challenges raised by the National Audit Office in their latest review of DWP Fraud processes.
- The requirements centred around 6 common themes.

Common Themes

1. Local Authorities to access FRAIMS data by NINO to view case information
2. All LA only referrals received by DWP to be transferred electronically
3. Automatic notification of all DWP investigations to LA where HB/CTB in payment
4. All Local Authority investigations with a DWP interest to be recorded on FRAIMS
5. Joint working requests to be made electronically
6. LA case outcomes to be automatically updated on FRAIMS

Way forward from the requirements gathering workshop

The requirements and challenges to implement them were reviewed in detail to understand the most feasible way forward for Release 2 and beyond...

- The most fundamental limiting factor to delivering the full scope of the Release 2 requirements was the technical infrastructure and connectivity between DWP and Local Authorities. In particular to enable full application access to FRAIMS would require Secure Web Application connectivity from DWP to Local Authorities.
- This functionality is not currently provided as standard by the Government Connect program and it was deemed infeasible to deliver any technical infrastructure outside of this program.
- In addition the governance of a single complex solution to satisfy all Local Authorities was deemed improbable to be undertaken in a single application release.
- Given this background the FRAIMS project took the decision to work towards the full scope of the requirements in a series of steps phased over a longer period of time. This approach would enable Government Connect to mature to deliver the capabilities required by FRAIMS, Local Authorities to engage with FRAIMS in manageable steps and the requirements to mature over time taking lessons learned from each previous phase.
- Alongside this input will be taken from the 'One City One Team' pilot in Leeds to improve and refine the original requirements gathered.



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Planned Release 2 Functionality

The current Release 2 functionality focuses on one of the common themes from the requirement gathering workshop...

- Given the technical constraints Release 2 has focused on the theme “*Local Authorities to access FRAIMS data by NINO to view case information*” from the requirement workshop.
- This set of requirements was chosen as it would enable Local Authorities to gain quicker access to FRAIMS historical case and sanction data and remove high volume clerical processes used to retrieve this information from a FIS representative.
- It was also chosen as there was a technically feasible and deliverable solution given Government Connects current functionality and rollout plans.
- The core of this functionality is to enable automated email access to existing and previous case information and details of sanctions. This would include:
 - If there are any live or dormant cases for the suspect , including the details of the Investigator owning the cases and the outcome of the cases
 - If there are sanctions recorded for the cases then the specific details of the Legal Outcome, Administrative Penalty or Caution would be provided.

Note: See Appendix for details of information proposed to be returned in the automated email.

Planned Release 2 Functionality

How the automated functionality could be used within the Local Authorities Fraud process...

To give an understanding of the potential use of this functionality we have analysed an example Fraud Investigation process flow to determine the most beneficial areas of use for a Local Authority.

The diagram below shows the process flow with highlights to the potential areas of use.



When sifting decisions are undertaken on whether to Investigate a referral the Investigator could use the new automated functionality to see if the person has any previous history of benefit fraud.

They could also use it to check whether the person is currently being investigated by FIS Investigator or a Customer Compliance Officer

Whilst investigating the fraud case the Local Authority Investigator could use the new functionality to check whether a live investigation is ongoing by FIS and who is undertaking the investigation. This would reduce the chances of a dual investigation occurring.

Once fraud has been proven and a decision taken the Investigator can use the functionality to check previous sanctions to determine what sanction is now appropriate for new case based on the fraud history the person has.

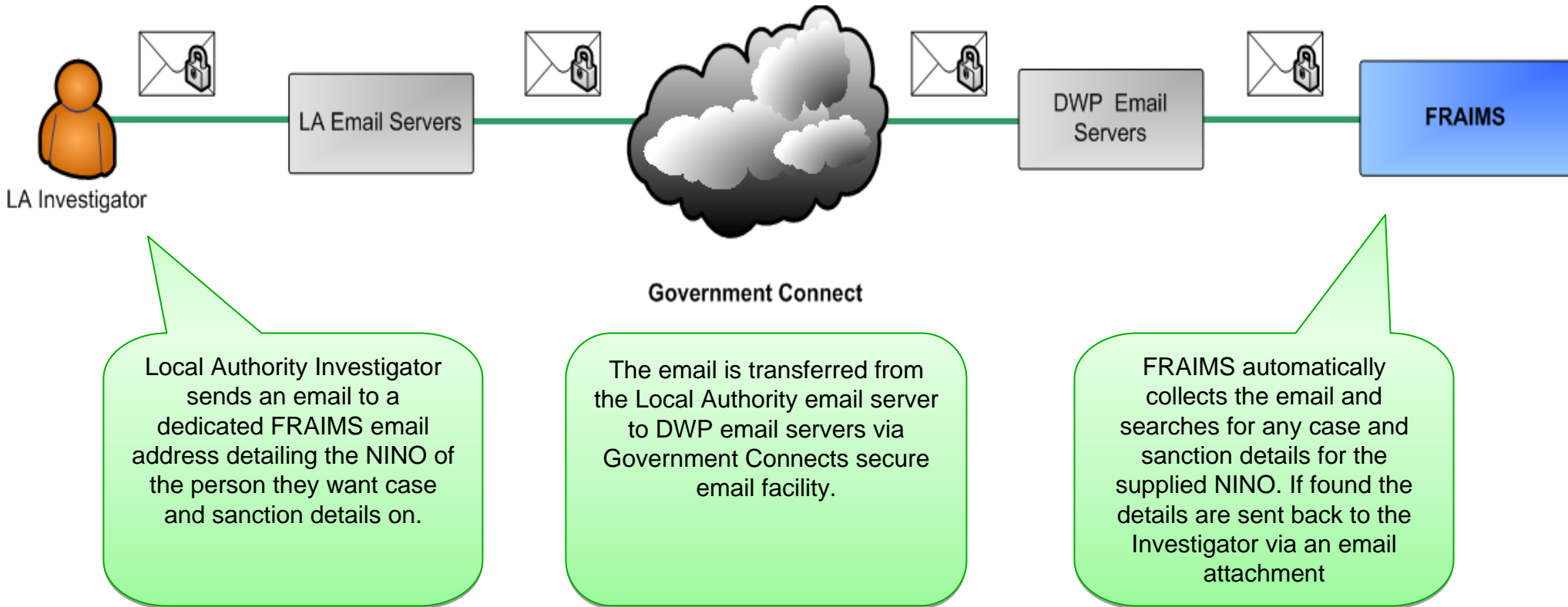
Planned Release 2 Functionality

The release 2 functionality will be underpinned by the use of Government Connect for secure E-mail Transfers

The DWP's landscape is currently limited to secure email only through government connect.

The FRAIMS R2 solution would be to connect to Local Authorities using new FRAIMS components to automatically accept an incoming email and respond with the appropriate case and sanction data.

This makes for a very simple solution from the Local Authority perspective and gives them very quick access to the information held on FRAIMS



Benefits of the automated case and sanction solution

The proposed solution would enable benefits for both Local Authorities and for FIS.

- This automated email solution would reduce the need to make clerical requests to a FIS investigator during the initial and closing stages of an LA investigation. It replaces specific manual steps undertaken either through letter, email or phone call in the following areas:
 - Understanding a suspects previous history when deciding whether to take a referral forward for investigation.
 - Understanding whether a live investigation is ongoing by FIS and who is undertaking the investigation
 - Understanding a suspects previous history when determining what sanction is appropriate for any alleged offences.
- By removing these clerical steps it brings greater speed of access to the FRAIMS data leading to reduction in the time taken to make decisions on investigating a referral and choice of sanction to be taken.
- There would no longer be a dependency on a FIS Investigator being available to perform the search for the Local Authority, ensuring that a quick response is always given.
- This is a simple solution so no user training required to access the functionality as it is underpinned by common email technology.
- Improved security standards as each Local Authority user must be registered with FRAIMS to use the service and all information is passed via secure email. This is particular important now that Departmental Policy requires that sensitive information must only be sent to other approved secure communities.
- Clear audit trail of the requests made by each Local Authority Investigator and the information provided by FRAIMS.

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Technical dependencies on delivering the functionality

- The main dependency on the release 2 functionality is the delivery of Government Connects secure email service to each Local Authority.
- The current road map for the delivery of the Code of Connection (CoCo) approval by Government Connect is shown on table below. CoCo approval does not mean that Secure GC Mail is in place but is a major milestone in the process to getting connectivity:

CoCo Approval In	In Month	Total
Achieved in April		251
Predicted in May	11	262
Predicted in June	19	281
Predicted in July	38	319
Predicted in August	15	334
Predicted in September	76	410



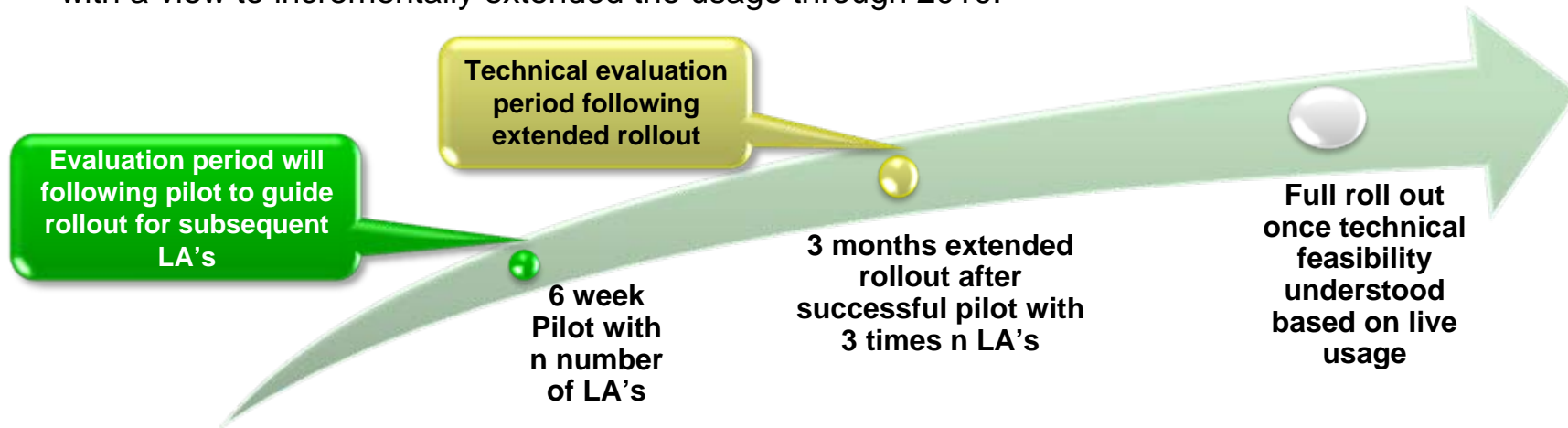
Note: These figures were taken from the Government Connect website are accurate as of April 2009. The figures also do not reflect the recent local government reorganisation has now come into effect.

- Without this service the Local Authorities will not be able to access the FRAIMS automated functionality as the data being sent out of FRAIMS is sensitive in nature and cannot be sent via unsecure transfer.
- This roadmap will also underpin discussion around Implementation of the functionality as a phased approach will need to be taken to factor in Local Authorities which have not yet got the Government Connect functionality in place.

Release 2 Implementation.

Potential approach for delivering this functionality would be based around a pilot roll out.

- Implementation of this new functionality will need to be coordinated with the FRAIMS Release 2 project timescales, the planned Government Connect roll out and with individual Local Authorities and their FIS counterparts.
- Given this complexity the current approach proposed would be to pilot the usage for a 6 week period within a small number of Local Authorities. This would take place at the Release 2 'go live' towards the end of 2009 with a view to incrementally extended the usage through 2010.



- This approach will allow for:
 - Government Connect to complete it's rollout.
 - Lessons learned from pilot implementation will be used to improve rollout to subsequent Local Authorities.
 - Detailed usage figures to be gathered to understand any volume and capacity issues with the new service.

Release 2 Implementation.

Governance and Implementation considerations for the pilot Local Authorities...

- In addition to the technical dependencies of the solution there are a number of governance aspects which need to be taken into consideration.
- In this area the following questions need to be understood:
 - How do DWP and Local Authorities agree to any terms of use of the service?
 - How do changes in Local Authority business processes get undertaken?
 - How do any changes in the Fraud Partnership Agreement get made and agreed based on the use of this service?
 - Who manages and coordinates any ongoing changes identified whilst the service is in use?
 - How are the communications regarding the introduction of this service coordinated between Local Authorities and FIS?

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- The proposed solution is to give Local Authorities quick and simple access to FRAIMS data under pinned by Government Connects secure email functionality.
- This proposed approach is to roll this functionality out over an extended period of time beginning with a 6 week pilot at Release 2 'go live'.
- Given this approach are you willing to proceed to implement this functionality?

If so the next steps are:

- The SOG to confirm by 15th June the nominated Local Authorities prepared to be part of the pilot.
- Pilot Local Authorities to be confirmed between FRAIMS project and SOG by end of June.
- Understanding on how the FRAIMS project will engage with the pilot Local Authorities on a continuous basis.

Appendix

FRAIMS Release 2 Project

Example of the types of information returned by the automated query

The following lists shows some of the proposed information that would be contained with the email attachment

Case Information

- Case Number
- Case Type (e.g. Serious & Complex, Criminal or Compliance)
- Case Stage
- Case Status
- Case Owner Details (First Name, Last Name, Phone Number, Division)
- Outcome Details (Outcome, Outcome Result, Outcome Date)
- Case Closed Date

Legal Outcome Information

- Case Number
- Date of Result
- Result
- Date of Sentence
- Date of Earliest Offence
- Date of Earliest TIC
- Overpayment Amount
- Benefits Involved
- Offences Involved
- Convicted Charges
- Sentence Details

Administrative Penalties Information

- Case Number
- Overpayment Amount and Dates
- Benefit Reason
- Penalty Amount
- Offences Involved
- Whether suspect attended Interview
- Agreement Withdrawn
- Whether recommended for prosecution and reason if not

Caution Information

- Case Number
- Overpayment Amount and Dates
- Interview Date
- Offences Involved
- Whether caution was accepted
- Date Refused
- Whether recommended for prosecution and reason if not