

**2009 Performance Update  
Legal Complaints Service**

December 2009



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## Summary of Performance Against Planned Objectives

### Getting the Right Answer

**Q1:** We will achieve a fair outcome and service standard, without significant failings, in at least 90% of cases closed

\*Comment added on page 13

Quarter 4	YTD	Plan	Variance	Being Met?

### Doing it Quickly

**T1a:** We will investigate and resolve at least 65% of cases within 3 months of receipt

This Month	YTD	Plan	Variance	Being Met?
72%	66%	65%	1%	✓

**T1b:** We will investigate and resolve 100% of cases within 12 months, apart from in exceptional circumstances

This Month	YTD	Plan	Variance	Being Met?
99.82%	99.90%	100%	-0.10%	✓

### Informing the Customer

**S1:** We will ensure at least 80% of our customers are satisfied with our service

This Month	YTD	Plan	Variance	Being Met?
85%	83%	80%	3%	✓

### Providing Value for Money

**C1:** We will reduce the cost index of our service by 6% per year in real terms

YTD	Plan	Variance	Being Met?
£1,088.04	£1,202.51	-£114.47	✓

### Preparation for Handover & Closure

**H1:** Optimise total number of cases in progress (WIP)

Month End	Plan	Variance	Being Met?
3450	Approx. 3600	-150 (-4%)	✓

**H2:** Optimise size of unallocated buffer

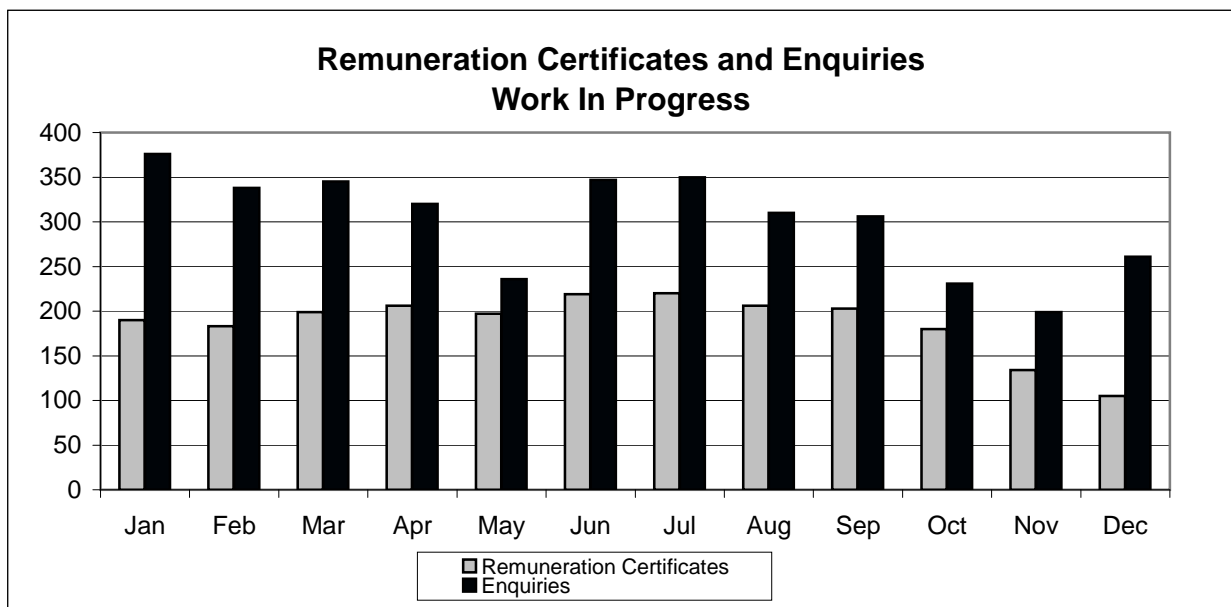
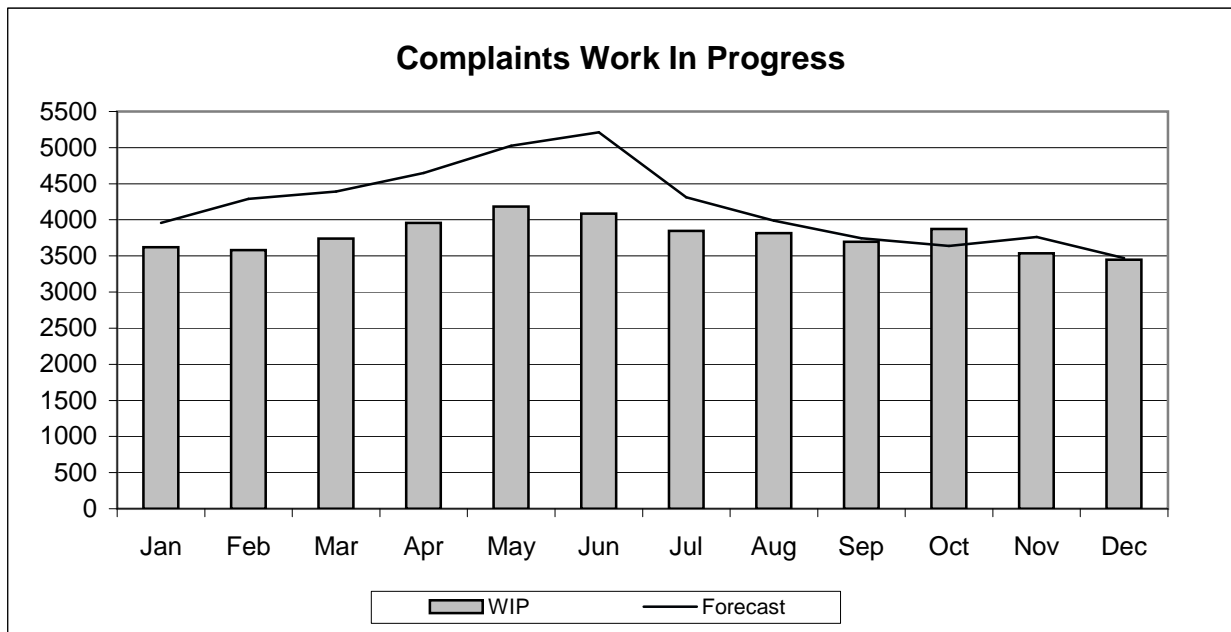
This Month	Plan	Variance	Being Met?
99%	100% within 21 working days	-1%	✓

## Summary Throughput

Throughput	WIP Brought Forward	Cases Received	Cases Closed	WIP Carried Forward	WIP Movement
<b>Complaints</b>	3535	1165	1250	<b>3450</b>	-85
<b>Remuneration Certificates</b>	134	7	36	<b>105</b>	-29
<b>All Enquiries</b>	199	378	316	<b>261</b>	62
<b>Total</b>	<b>3868</b>	<b>1550</b>	<b>1602</b>	<b>3816</b>	<b>-52</b>

These figures include receipts and reopens for all complaints.

A large number of Coal Health closures has contributed to the high volume of closures this month



## General Throughput Performance Against Forecast 2009

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast Receipts</b>	1060	1172	1034	1121	1169	1233	1315	1065	1054	1114	976	979	<b>13292</b>
<b>Actual Receipts</b>	1035	980	1257	1067	1132	1098	1056	1064	958	1209	1110	1059	<b>13025</b>
<b>Variance</b>	-25	-192	223	-54	-37	-135	-259	-1	-96	95	134	80	<b>-267</b>
<b>% Variance</b>	<b>-2%</b>	<b>-16%</b>	<b>22%</b>	<b>-5%</b>	<b>-3%</b>	<b>-11%</b>	<b>-20%</b>	<b>0%</b>	<b>-9%</b>	<b>9%</b>	<b>14%</b>	<b>8%</b>	<b>-2%</b>
<b>Forecast In House Closures</b>	939	809	887	817	710	944	966	821	996	1060	1036	756	<b>10741</b>
<b>Forecast Outsource Closures</b>	90	90	100	100	150	150	150	150	150	150	85	85	<b>1450</b>
<b>Total Closure Forecast</b>	<b>1029</b>	<b>899</b>	<b>987</b>	<b>917</b>	<b>860</b>	<b>1094</b>	<b>1116</b>	<b>971</b>	<b>1146</b>	<b>1210</b>	<b>1121</b>	<b>841</b>	<b>12191</b>
<b>Actual In House Closures</b>	916	942	1068	893	858	1002	1115	994	1036	1116	1118	866	<b>11924</b>
<b>Actual Outsource Closures</b>	91	89	131	117	128	176	150	87	84	105	93	130	<b>1381</b>
<b>Total Actual Closures</b>	<b>1007</b>	<b>1031</b>	<b>1199</b>	<b>1010</b>	<b>986</b>	<b>1178</b>	<b>1265</b>	<b>1081</b>	<b>1120</b>	<b>1221</b>	<b>1211</b>	<b>996</b>	<b>13305</b>
<b>Variance</b>	-22	132	212	93	126	84	149	110	-26	11	90	155	<b>1114</b>
<b>% Variance</b>	<b>-2%</b>	<b>15%</b>	<b>21%</b>	<b>10%</b>	<b>15%</b>	<b>8%</b>	<b>13%</b>	<b>11%</b>	<b>-2%</b>	<b>1%</b>	<b>8%</b>	<b>18%</b>	<b>9%</b>
<b>Forecast WIP</b>	3550	3823	3870	4074	4383	4522	3519	3204	3002	2835	2691	2830	
<b>Actual WIP</b>	3190	3139	3197	3254	3400	3320	3111	3094	2932	2920	2819	2882	
<b>Variance</b>	-360	-684	-673	-820	-983	-1202	-408	-110	-70	85	128	52	
<b>% Variance</b>	<b>-10%</b>	<b>-18%</b>	<b>-17%</b>	<b>-20%</b>	<b>-22%</b>	<b>-27%</b>	<b>-12%</b>	<b>-3%</b>	<b>-2%</b>	<b>3%</b>	<b>5%</b>	<b>2%</b>	

This includes complaints kept open to pursue recovery of redress from insurance companies, but excludes coal health complaints.

After a review carried out in June some alterations were made to the current forecast.

The changes were:

1. receipts reduced by 3% to reflect current YTD variance plus seasonality adjustment
2. In House closures amended to reflect current operational model
3. Outsource closures reduced.

There were also alterations to the way that the WIP forecast is calculated to more accurately reflect our projection based on the most up to date actual figure.

## Coal Health Throughput Performance Against Forecast 2009

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast Receipts</b>	142	142	142	142	142	142	142	142	142	142	142	142	1704
<b>Actual Receipts</b>	167	117	245	273	191	127	114	111	151	293	149	106	2044
<b>Variance</b>	25	-25	103	131	49	-15	-28	-31	9	151	7	-36	340
<b>% Variance</b>	18%	-18%	73%	92%	35%	-11%	-20%	-22%	6%	106%	5%	-25%	20%
<b>Forecast Closures</b>	91	82	91	85	75	99	117	95	119	105	108	574	1641
<b>Actual Closures</b>	91	109	144	112	109	144	145	128	106	106	385	254	1833
<b>Variance</b>	0	27	53	27	34	45	28	33	-13	1	277	-320	192
<b>% Variance</b>	0%	33%	58%	32%	45%	45%	24%	35%	-11%	1%	256%	-56%	12%
<b>Forecast WIP</b>	408	468	519	577	644	688	793	840	743	781	816	385	
<b>Actual WIP</b>	433	441	542	703	785	768	737	720	765	952	716	568	
<b>Variance</b>	25	-27	23	126	141	80	-56	-120	22	171	-100	183	
<b>% Variance</b>	6%	-6%	4%	22%	22%	12%	-7%	-14%	3%	22%	-12%	48%	

The high levels of receipts during March, April and May can be explained by recent findings against two Solicitors firms. Although a high volume of cases were being received the unallocated cases remained constant at around 120 at the end of each month. This is being monitored to ensure that the volumes of files do not impact on allocation times.

The high volume of closures this month is due to a recent agreement to concilliate all a particularly difficult firm's files. We expected this to begin in December however a large number of files were closed in the last few days in November.

## All Work In Progress with Age Profile

WIP	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Avg.
<b>0-3 mths</b>	2425	2343	2585	2790	2963	2697	2413	2311	2209	2434	2265	2325	2480
<b>4-6 mths</b>	717	769	709	667	661	834	906	974	857	743	646	638	760
<b>7-9 mths</b>	312	303	271	317	356	339	278	271	400	476	441	288	338
<b>10-12 mths</b>	126	123	131	118	130	139	172	169	154	119	99	137	135
<b>All &gt;12 mths</b>	43	42	43	65	75	79	79	89	77	100	84	62	70
<b>Insurers &gt; 12 mths</b>	41	41	41	63	71	77	71	76	59	69	56	37	59
<b>Coal Health &gt; 12 mths</b>	0	0	0	0	0	1	3	5	8	15	17	13	5
<b>Total WIP</b>	<b>3623</b>	<b>3580</b>	<b>3739</b>	<b>3957</b>	<b>4185</b>	<b>4088</b>	<b>3848</b>	<b>3814</b>	<b>3697</b>	<b>3872</b>	<b>3535</b>	<b>3450</b>	<b>3782</b>
<b>WIP Forecast</b>	<i>3958</i>	<i>4292</i>	<i>4390</i>	<i>4651</i>	<i>5028</i>	<i>5210</i>	<i>4312</i>	<i>3988</i>	<i>3746</i>	<i>3638</i>	<i>3762</i>	<i>3470</i>	<i>4204</i>
<b>Rollover 6 mths</b>	127	112	108	150	148	109	122	108	120	94	111	112	118
<b>Rollover 9 mths</b>	59	51	55	55	60	60	100	66	37	35	36	48	55

After a review carried out in June some alterations were made to the current forecast. There were also alterations to the way that the WIP forecast is calculated to more accurately reflect our projection based on the most up to date actual figure.

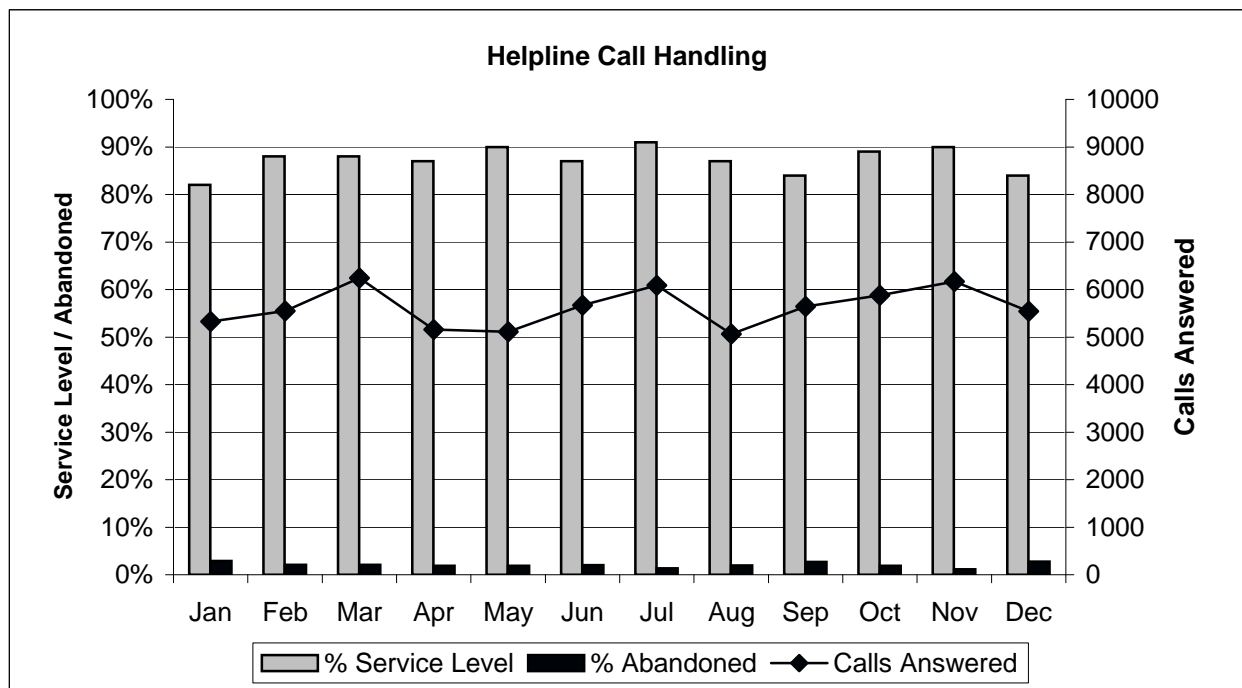
## Insurance Work In Progress

<b>Insurers WIP</b>	<b>Jan</b>	<b>Feb</b>	<b>Mar</b>	<b>Apr</b>	<b>May</b>	<b>Jun</b>	<b>Jul</b>	<b>Aug</b>	<b>Sep</b>	<b>Oct</b>	<b>Nov</b>	<b>Dec</b>	<b>Avg.</b>
<b>0-3 months</b>	2	0	0	1	1	0	0	4	3	1	1	1	<b>1</b>
<b>4-6 months</b>	5	16	17	8	13	7	8	6	3	4	4	2	<b>8</b>
<b>7-9 months</b>	30	28	30	55	69	64	29	16	12	10	3	2	<b>29</b>
<b>10-12 months</b>	31	33	35	47	47	45	59	55	36	16	9	4	<b>35</b>
<b>13-14 months</b>	23	25	22	41	49	42	29	29	21	32	21	13	<b>29</b>
<b>15-17 months</b>	9	11	14	12	12	24	29	31	21	17	15	8	<b>17</b>
<b>18+ months</b>	9	5	5	10	10	11	13	16	17	20	20	16	<b>13</b>
<b>Total</b>	<b>109</b>	<b>118</b>	<b>123</b>	<b>174</b>	<b>201</b>	<b>193</b>	<b>167</b>	<b>157</b>	<b>113</b>	<b>100</b>	<b>73</b>	<b>46</b>	<b>131</b>

There has been no new insurers cases (except for cases involving two specific high profile firms) since the 1st June 2009 as this project is coming to an end.

## Helpline

Helpline Calls	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast</b>	5894	5852	6083	5321	5542	5935	5985	5782	5842	5954	6078	4127	<b>68395</b>
<b>Calls Accepted</b>	5483	5671	6374	5253	5212	5787	6171	5164	5798	5991	6239	5701	<b>68844</b>
<b>Variance</b>	-411	-181	291	-68	-330	-148	186	-618	-44	37	161	1574	<b>449</b>
<b>% Variance</b>	-7%	-3%	5%	-1%	-6%	-2%	3%	-11%	-1%	1%	3%	38%	<b>1%</b>
<b>Calls Answered</b>	5324	5551	6242	5155	5114	5670	6089	5064	5640	5880	6168	5545	<b>67442</b>
<b>Calls Abandoned</b>	159	120	132	98	98	117	82	100	158	111	71	156	<b>1402</b>
<b>% Abandoned</b>	3%	2%	2%	2%	2%	2%	1%	2%	3%	2%	1%	3%	<b>2%</b>
<b>% Service Level</b>	82%	88%	88%	87%	90%	87%	91%	87%	84%	89%	90%	84%	<b>87%</b>



The high number of calls received during December is due to a high profile solicitors firm being intevened into on Christmas eve. An unusually high number of calls were received between Christmas and new year relating to this firm.

## Timeliness of Closures by Month of Receipt

Cases Closed Within 3 Months of Receipt													
Month of Receipt	Oct 2008	Nov 2008	Dec 2008	Jan 2009	Feb 2009	Mar 2009	Apr 2009	May 2009	Jun 2009	Jul 2009	Aug 2009	Sep 2009	YTD
Complaints Received	1227	1174	1122	1192	1092	1497	1334	1317	1218	1168	1170	1103	14614
Closed to Date	765	761	712	830	744	929	858	847	795	770	827	795	9633
Percentage	62%	65%	63%	70%	68%	62%	64%	64%	65%	66%	71%	72%	66%

Cases Closed Within 6 Months of Receipt													
Month of Receipt	Jul 2008	Aug 2008	Sep 2008	Oct 2008	Nov 2008	Dec 2008	Jan 2009	Feb 2009	Mar 2009	Apr 2009	May 2009	Jun 2009	YTD
Complaints Received	1391	1156	1211	1227	1174	1122	1192	1092	1497	1334	1317	1218	14931
Closed to Date	1221	1026	1073	1040	1032	983	1062	970	1234	1114	1133	1089	12977
Percentage	88%	89%	89%	85%	88%	88%	89%	89%	82%	84%	86%	89%	87%
YTD LSCC Measure	Target = 87%			85%	86%	87%	87%	88%	87%	86%	86%	86%	

Cases Closed Within 12 Months of Receipt													
Month of Receipt	Jan 2008	Feb 2008	Mar 2008	Apr 2008	May 2008	Jun 2008	Jul 2008	Aug 2008	Sep 2008	Oct 2008	Nov 2008	Dec 2008	YTD
Complaints Received	1160	1248	1159	1403	1154	1166	1391	1156	1211	1227	1174	1122	14571
Closed to Date	1152	1237	1147	1372	1135	1149	1370	1139	1191	1188	1150	1107	14337
Closed Percentage	99.31%	99.12%	98.96%	97.79%	98.35%	98.54%	98.49%	98.53%	98.35%	96.82%	97.96%	98.66%	98.39%
Exceptions Insurers	8	11	12	29	17	14	13	11	9	21	8	4	157
Exceptions Coal Health	0	0	0	0	0	1	2	2	3	7	9	6	30
Exceptions Other	0	0	0	1	1	0	5	3	5	8	6	3	32
Total	1160	1248	1159	1402	1153	1164	1390	1155	1208	1224	1173	1120	14556
Percentage	100.00%	100.00%	100.00%	99.93%	99.91%	99.83%	99.93%	99.91%	99.75%	99.76%	99.91%	99.82%	99.90%

The three tables above show cases closed against the receipt date. So to measure in January 2009 cases that were closed within three months we go back to the cases received in October 2008 and measure the number closed at the end of January. All exceptions include valid exceptions only

## All Unallocated with Age Profile

Unallocated Cases	0 - 7 days	7 - 14 days	15 - 21 days	22 - 28 days	29 - 42 days	43 - 64 days	65 - 84 days	Over 85 days	Total
<b>New Complaints</b>	227	125	34	1	0	0	0	0	387
<b>Transfers</b>	0	6	10	4	8	12	5	8	53
<b>Total</b>	<b>227</b>	<b>131</b>	<b>44</b>	<b>5</b>	<b>8</b>	<b>12</b>	<b>5</b>	<b>8</b>	<b>440</b>
<b>Percentage</b>	<b>52%</b>	<b>30%</b>	<b>10%</b>	<b>1%</b>	<b>2%</b>	<b>3%</b>	<b>1%</b>	<b>2%</b>	

## Speed of Allocation

All New Allocated Complaints	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
<b>0 - 7 days</b>	504	469	447	308	350	457	589	743	462	917	889	687	<b>6822</b>
<b>7 - 14 days</b>	396	292	553	451	455	411	401	339	495	375	266	229	<b>4663</b>
<b>15 - 21 days</b>	150	133	146	238	244	394	154	39	69	50	116	54	<b>1787</b>
<b>22 - 28 days</b>	154	156	141	53	109	135	46	21	17	2	35	11	<b>880</b>
<b>29 - 42 days</b>	27	31	24	8	5	27	25	4	3	0	17	1	<b>172</b>
<b>43 - 64 days</b>	1	6	2	0	2	3	1	4	3	0	2	0	<b>24</b>
<b>65 - 84 days</b>	1	0	1	0	0	0	0	0	0	0	0	0	<b>2</b>
<b>Over 85 days</b>	0	0	0	0	0	0	0	0	0	0	0	0	<b>0</b>
<b>Total</b>	<b>1233</b>	<b>1087</b>	<b>1314</b>	<b>1058</b>	<b>1165</b>	<b>1427</b>	<b>1216</b>	<b>1150</b>	<b>1049</b>	<b>1344</b>	<b>1325</b>	<b>982</b>	<b>14350</b>
<b>% Within 21 Working Days</b>	<b>85%</b>	<b>82%</b>	<b>87%</b>	<b>94%</b>	<b>90%</b>	<b>88%</b>	<b>94%</b>	<b>97%</b>	<b>98%</b>	<b>100%</b>	<b>96%</b>	<b>99%</b>	

This measure calculates the number of working days between creation on the system to the first time a caseworker acknowledges receipt of the file in their own worklist.

## Quality of Outcome and Customer Service

Files Audited	Quarter 1 (Jan 09 - Mar 09)	Quarter 2 (Apr 09 - Jun 09)	Quarter 3 (Jul 09 - Sep 09)	Quarter 4 (Oct 09 - Dec 09)	YTD
<b>Total Audited</b>				0	
<b>Meeting Criteria</b>				0	
<b>% Meeting Criteria</b>				#DIV/0!	
<b>Objective</b>	90%	90%	90%	90%	90%

Following concentration of our File Review process on performance management, we will now confirm our achievement of this objective by audit in January 2010.

## Customer Satisfaction

Customer Satisfaction	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forms Sent</b>	665	664	867	766	675	776	718	674	765	834	890	817	<b>9111</b>
<b>Forms Returned</b>	360	262	341	302	256	315	325	320	302	285	303	321	<b>3692</b>
<b>Response Rate</b>	54%	39%	39%	39%	38%	41%	45%	47%	39%	34%	34%	39%	<b>41%</b>
<b>Satisfaction (Service)</b>	84%	81%	80%	85%	84%	82%	82%	81%	85%	84%	84%	85%	<b>83%</b>
<b>Satisfaction (Outcome)</b>	79%	71%	72%	75%	76%	74%	76%	74%	76%	77%	74%	80%	<b>75%</b>

## LCS Budget

	Adjusted Budget	YTD Budget	YTD Actual	YTD variance	Variance %
<b>EXPENDITURE</b>					
Basic Salaries	11,332,168	11,332,168	11,311,621	20,547	0.2%
NI / Pension Contributions	2,493,392	2,493,392	2,484,229	9,163	0.4%
Temporary Staff (Agency)	682,346	682,346	636,244	46,102	6.8%
Total Paybill	14,507,906	14,507,906	14,432,094	75,812	0.5%
Other Staff Costs	92,454	92,454	101,395	-8,941	-9.7%
<b>Total Staff Expenditure</b>	<b>14,600,360</b>	<b>14,600,360</b>	<b>14,533,489</b>	<b>66,871</b>	<b>0.5%</b>
Printing, Stationery, Postage & Telephone	267,747	267,747	206,035	61,712	23.0%
Computing Charges	0	0	0	0	
Travel & Subsistence & Entertaining	134,573	134,573	99,599	34,974	26.0%
Other Professional Fees	1,710,204	1,710,204	1,585,607	124,597	7.3%
Marketing, Conference & Exhibition costs	0	0	0	0	
Other Administration costs	162,740	162,740	140,051	22,689	13.9%
Establishment Expenses	-19,532	-19,532	-19,219	-313	1.6%
LSCC Fee	369,000	369,000	249,111	119,889	32.5%
<b>Total Non-Staff Expenditure</b>	<b>2,624,732</b>	<b>2,624,732</b>	<b>2,261,184</b>	<b>363,548</b>	<b>13.9%</b>
<b>Gross Expenditure</b>	<b>17,225,092</b>	<b>17,225,092</b>	<b>16,794,673</b>	<b>430,419</b>	<b>2.5%</b>
<b>INCOME</b>					
Income	-189,025	-189,025	-363,135	174,110	-92.1%
<b>Net Expenditure</b>	<b>17,036,067</b>	<b>17,036,067</b>	<b>16,431,538</b>	<b>604,529</b>	<b>3.5%</b>

## Staffing

Staffing	Management	Casework	Support	Total
<b>Current Establishment</b>	56.97	210.38	91.17	<b>358.52</b>
<b>Permanent Staff</b>	51.09	164.19	75.07	<b>290.35</b>
<b>Temporary Staff</b>	0.80	25.80	8.50	<b>35.10</b>
<b>Total Staff in Post</b>	51.89	189.99	83.57	<b>325.45</b>
<b>Variance</b>	-5.08	-20.39	-7.60	<b>-33.07</b>
<b>% Variance</b>	-8.9%	-9.7%	-8.3%	<b>-9.2%</b>
<b>Starters</b>	0.00	0.00	0.00	<b>0.00</b>
<b>Leavers</b>	0.80	11.12	5.00	<b>16.92</b>

## Cost Index

Cost Index	Without TLS Shared Costs	With TLS Shared Costs
<b>YTD Applicable Spend</b>	£16,470,810	£28,510,817
<b>YTD Closures</b>	15,138	
<b>Cost Index</b>	<b>£1,088.04</b>	<b>£1,883.39</b>
<b>Target</b>	£1,202.51	£1,906.15
<b>Variance</b>	<b>-£114.47 (-10%)</b>	<b>-£22.76 (-1%)</b>

Revision to 2009 Cost Index Performance Objective (C1)

The Cost Index objective for this year was developed during the second half of 2008, in the context of strong LSCC scrutiny, targets and comparisons with the future OLC costs. The measure used therefore included several adjustments to allow detailed year-on-year comparison of costs relevant to the OLC, included some TLS cross-charges over which we have no control, and was based on the April to March Plan year. These aspects do not now serve the current purpose of driving the overall cost efficiency of LCS in the TLS financial year (Jan to Dec).

In light of the refocused purpose of this Objective, we have simplified calculation of C1 as follows:

- a) All LCS-controlled costs are included. This is therefore much more transparent and simpler to calculate, as we no longer remove items such as OLC preparation work or changes required by the Legal Services Act. However, it would be affected by large, unusual costs such as redundancy.
- b) TLS cross-charges are separated out, to break the overall Cost Index into 2 parts – one for just LCS spend, and one for central services. This allows us to demonstrate cost reduction over those parts we can affect, but the LCS portion must not be mis-interpreted as the variable cost of closing a complaint.

In practice, this adjusts our 2009 YTD Cost Index performance from £2,084.19 to £2,088.99, (an overall increase of just 0.23%).

## LSO Referrals

File Type	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
Complaints	94	92	103	86	100	118	97	85	107	86	88	96	1152
Enquiry	2	1	4	0	0	0	3	0	1	0	0	0	11
Remuneration Certificates	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Total</b>	<b>96</b>	<b>93</b>	<b>107</b>	<b>86</b>	<b>100</b>	<b>118</b>	<b>100</b>	<b>85</b>	<b>108</b>	<b>86</b>	<b>88</b>	<b>96</b>	<b>1163</b>
<b>LSO Referrals %</b>	<b>6%</b>	<b>6%</b>	<b>6%</b>	<b>5%</b>	<b>6%</b>	<b>7%</b>	<b>5%</b>	<b>5%</b>	<b>6%</b>	<b>5%</b>	<b>4%</b>	<b>6%</b>	<b>6%</b>

The % of referrals is based on the average monthly closures for the year to date.

Outcome of LSO Review	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
No Further Action	76	38	83	48	14	83	88	28	97	58	78	14	705
	68%	52%	59%	74%	64%	72%	75%	57%	80%	67%	66%	56%	67%
Critical	8	7	7	5	4	5	6	2	5	1	12	1	63
	7%	10%	5%	8%	18%	4%	5%	4%	4%	1%	10%	4%	6%
Reconsider	24	21	38	11	3	26	17	8	16	19	23	9	215
	21%	29%	27%	17%	14%	23%	15%	16%	13%	22%	19%	36%	21%
Reconsider & Compensate	1	5	4	0	0	0	0	5	0	3	4	0	22
	1%	7%	3%	0%	0%	0%	0%	10%	0%	3%	3%	0%	2%
Compensate	3	2	9	1	1	1	6	6	3	5	2	1	40
	3%	3%	6%	2%	5%	1%	5%	12%	2%	6%	2%	4%	4%
<b>Total</b>	<b>112</b>	<b>73</b>	<b>141</b>	<b>65</b>	<b>22</b>	<b>115</b>	<b>117</b>	<b>49</b>	<b>121</b>	<b>86</b>	<b>119</b>	<b>25</b>	<b>1045</b>

The returns during May were very low in comparison to other months, therefore the results are not representative. Any continuing trends will be investigated as and when they appear.

**Cases Over 12 Months**

Reasons for cases being over 12 months	Justified?	
<p><b>Case 1 (WIP)</b></p>	<p>Two of the partners of the firm were intervened into about a year ago and the firm subsequently closed. The partners protested about this and took legal action against the Law Society and one in particular, the solicitor in this case, used this as an excuse not to respond and then refused to respond on the grounds of ill health. The other partners that were not intervened into personally denied knowledge or responsibility of many of the complaints raised and would not always address the complaints raised. Furthermore where partners did agree to respond they had to arrange to attend the intervention agents offices to view the files and again where further information has been requested. This has sometimes resulted in us having the papers sent to this office where responses have not been forthcoming/adequate. In this case the file consisted of 36 boxes, each containing 4 or 5 ring binders. The caseworker had difficulty obtaining a response from solicitor and eventually made a referral to the SRA. The caseworker obtained a response from the other partner but this took some time as they delayed, then had arrange to view the files at the intervention agent's office. The caseworker then required further information, had difficulty obtaining an adequate explanation from the one partner that was responding, and was forced to request the 36 boxes of files to obtain the evidence which they are currently sorting through.</p>	<p align="center">Yes</p>
<p><b>Case 2 (WIP)</b></p>	<p>The case was originally allocated on 21st January 2009. The original caseworker outlined the reasons of complaint within good time and requested the file from the solicitor. On receipt of the file, the caseworker noticed that some issues were apparent on the file that were not raised by the customer. After a brief discussion the original caseworker agreed to add these issues to the list of original issues raised. This meant that the file would need to be transferred to a caseworker in our specialist team. The reallocation took place on the 10th March 2009, the file was now 3 months old. After reallocation the file was proceeded without delay until the new caseworker was on sick leave for more than 1 month in October. After 4 weeks delay the file was reallocated in November. Considering the amount of information present on the file at that time, there was a need to clearly review and move the matter on as soon as possible, which the caseworker did via a letter to the customer on 25 November 2009. At this point, the caseworkers view was to try and persuade the customer not to continue with the complaint and gave the customer until 9 December 2009 to decide. The customer did respond by this date asking for an extension of time until 18 December, which was agreed. There was again another period of 4 weeks delay whilst the new caseworker was also on sick leave.</p>	<p align="center">No</p>
<p><b>Case 3 (WIP)</b></p>	<p>The case was allocated to a caseworker on 23 October 2008 and the caseworker offered a special payment to the customer for the delay which was accepted. After contacting the parties the caseworker wrote to the customer on 25 November 2008 confirming their issues. The solicitor notified us of health issues on 10 December 2008 (case now 2 months old) and could not provide a response at the moment. An extension until 12 January 2009 (case now 3 months old) was granted. On 19 January 2009 the solicitor wrote again saying indicating that a response was imminent. The response did not arrive and the caseworker sent a failure to reply letter on 29 January 2009 threatening the solicitor with a section 44b. The section 44b was sent by caseworker on 13 February 2009. A further warning letter was sent on 24 February 2009 when the solicitor did not respond. The matter was referred to the SRA on 5 March 2009 to enforce the section 44b. On 5 May 2009 the SRA forwarded some documents from the file which one of their forensic investigators had managed to obtain. However, there was not sufficient evidence to prepare a report the SRA were asked to continue to see if they could obtain the full file. On 21 May 2009 the caseworker emailed the customer's new solicitor to obtain any further documents - unfortunately the caseworker misspelt the email address and it seems the email was never received. In June 2009 the subject solicitor notified the SRA that the customer's files had been lost by the insurer. On 31 July 2009 the caseworker wrote to the customer's new solicitor setting out what information was required in relation to the complaints, unfortunately this email was again sent to a misspelt email address and was not received by the new solicitor. On 17 August 2009 caseworker phoned the new solicitor and advised that the evidence was required within 7 days, which was then followed up by a chaser e-mail on 25 August 2009 (again sent to an incorrect email address) and said that the file would be closed on 1 September 2009 if the requested info didn't arrive. On 28 August the new solicitor spoke to the caseworker and advised that no e-mails were received. A complaint was received by the caseworker's manager from the solicitor and it was agreed that the deadline would be extended until 11 September 2009. A further complication arose at this point as the firm officially closed on 28 August 2009. The caseworker left the LCS on 4 September 2009 and the file was reallocated. The further evidence was received on 15 September 2009 and a review of the papers concluded that there was IPS. Caseworker noted that, potentially, there were financial effects and that the customer should be given the opportunity to provide evidence that these effects had been paid. The caseworker then telephoned the new solicitor on 18 September 2009 to advise of final conclusions. As the solicitor was going on holiday the following week, a deadline of 2 October 2009 to provide further evidence was agreed. The caseworker was on annual leave from 5 October to 9 October inclusive but in any event the further info didn't arrive until 12 October 2009. A letter report was then drafted and sent to the parties on 15 October 2009. The deadline for representations on the report is 29 October 2009.</p>	<p align="center">Yes</p>
<p><b>Case 4 (WIP)</b></p>	<p>Caseworker received file on 18 November, the caseworker had managed to deal with the file fairly promptly. The caseworker then discovered that the solicitors files had disappeared somewhere between the firm and the third party who were to get registration done. With no file the firm wouldn't reply. Statutory notice out on 27 January (file now 6 months old), reply received but no evidence attached. There was a short period of delay as the solicitor was ill, but caseworker was able to give views on 6 April. An offer was then proposed by the solicitor. Customer was then on holiday. In the meantime caseworker tried to locate the file for the customer. The customer then accepted the offer, but was subject to the file being received from the third party, who had began to delay. The caseworker requested the file on several occasions during June (file now 8 months old), and early July. A further issue was then raised over non-payment of Spanish Tax by the firm which solicitor didn't know about until then. The papers then became more urgent as needed to see if tax was paid and if so by whom. Advice sought from advisor by caseworker, the advice was that the caseworker needs the file to fully establish IPS as either responsibility of solicitor's firm or 3rd party firm, and if so, who is accountable. Two files were requested by the caseworker, one which customer had and one held by 3rd party. The file from customer was received 31st July (file now 9 months old). Caseworker chased the 3rd party firm on several occasions for their file which was crucial for establishing where the IPS fell, especially the late tax payment issue. The file was finally received 9th September form 3rd party. The report has now been drafted and is awaiting approval before been sent to adjudication.</p>	<p align="center">Yes</p>
<p><b>Case 5 (WIP)</b></p>	<p>This has been a complex file involving an immigration firm which has attracted a large number of complaints over the last year. The complaint was received in our office on 19 December 2008. It was allocated to caseworker on 8 January 2009 and the initial letters were sent to the customer and the firm on 15 January 2009. The firm did not respond, so a reminder letter was sent on 29 January 2009. The firm then requested an extension of time until 12 February 2009 to provide their response, which was granted. Their response was received on 13 February 2009, a copy of which was sent to the customer on 17 February 2009 and was given 7 days to comment. Comments were provided on 26 February 2009. Upon assessing the matter, both caseworker and senior caseworker had suspicions about the authenticity of the evidence provided by the firm. A referral was made to the SRA on 6 March 2009 and a report was prepared for adjudication on 21 April 2009. The matter was referred to the adjudication team on 7 May 2009 upon receipt of both parties' comments. The matter was, however, stood over on 8 June 2009, as further information was required from a number of different sources. This information was gathered and the matter was returned to the Adjudicator on 3 September 2009. Delays were due to lack of response from the information providers and having to chase them. A decision was made by the Adjudicator on 22 September 2009. Had the firm complied with the decision, the matter would have been closed within the 12 month period. However, they did not, and instead asked for the matter to be reconsidered by a different Adjudicator. The request was considered by a Caseworker Advisor, who considered on 12 October 2009 that the reconsideration policy did apply in this case. Both parties had to be given a further 14 days to comment. The firm did not provide their comments within the timescale and so a reminder letter had to be sent out. These were received on 2 December 2009 and the matter was sent to a new adjudicator on that day. Due to the complexity of the case, the new Adjudicator wished to seek advice from our Legal Advisor before making a final decision, and a decision was made on 16 December 2009. This was disclosed to the firm on 23 December 2009, although the firm have not complied with this fresh decision. A reminder letter has been sent out and hopefully the file will be closed next week whether or not the firm complies by this date.</p>	<p align="center">Yes</p>
<p><b>Case 6 (WIP)</b></p>	<p>Solicitor queried our jurisdiction to deal with complaint and would be obstructive in providing evidence. The customer was not particularly clear about the issues raised and it took some time to clarify matters. This is a complicated complaint and before the investigation proper could start it was necessary to prepare a report to see if we had jurisdiction to deal with the complaint. The issue was that the customer employed the solicitor as an "in house" solicitor. The solicitor believed that they were employed by the customer and as such there was no solicitor/client relationship and therefore could not raise complaints of poor service. That issue has now been adjudicated upon and the caseworker is in the process of dealing with the main complaint. However, there has been an issue with regard to the solicitors file and caseworker has only just obtained some documents from the customer. These now need to be copied to the solicitor for full comments on the issues raised and then another report can be prepared.</p>	<p align="center">Yes</p>
<p><b>Case 7 (WIP)</b></p>	<p>File was created in September and allocated to caseworker in October last year. After initial review of the file caseworker decided that we were not able to help customer as negligence proceedings ongoing and out of time, however, customer responded with reasons why the issue was not raised within the timeframe. Caseworker agrees to look at the file and decide whether there were any valid issues of complaint. Caseworker requests file from solicitor in November (case now 2 months old). Caseworker reviews file and agrees reasons for complaint with the customer in late December (now 3 months old). Caseworker is then on 3 weeks annual leave. Caseworker experiences difficulties in contacting customer as customer now lives abroad, after 2 months of no contact, caseworker writes to the customer advising that if no response is received, caseworker will be forced to close the file (case now 5 months old). Customer replies and a short exchange between customer and caseworker begins where the caseworker outlines the documentation needed from the customer with regards to the costing information. Caseworker finally sends out letter to solicitors firm outlining reasons for complaint in April (file is now 7 months old). Customer writes to caseworker explaining that they have found new issues for complaint and caseworker writes to solicitor to confirm these new issues. Solicitor responds in early May (case now 8 months old) and advises the caseworker that, as the file is so old, the solicitors file has been moved to off site archives and will take some time to get returned. Caseworker agrees an extension for the solicitor to send in the file. The deadline set by the caseworker was exceeded and caseworker contacted solicitors firm for an update, the solicitor mentions that the file is very large and often in a foreign language so has had difficulty sorting through the papers, caseworker agrees a 30 day extension till early July (file will then be 10 months old). Caseworker chases solicitor as no response received then solicitor responds to say that all the documentation was destroyed in a fire, caseworker asks for evidence of fire from solicitors. Customer provides some papers as evidence in August and caseworker sends chaser letter to solicitor in September (case now 12 months old)</p>	<p align="center">Yes</p>
<p><b>Case 8 (WIP)</b></p>	<p>The matter was with outsourcers for 3 months they made no headway. There was then a delay of 3 months to get the file reallocated. The matter was then with a LCO for approximately 8 weeks due to the firm's assertions that they did not understand the complaints and inability to provide documents limited to those relevant to the complaint. Our quality team expects the matter to be concluded with their office by 4/11/09. The report is prepared and will be released to client and solicitor after quality's review assuming that we get the go ahead from the quality team.</p>	<p align="center">Yes</p>

**Cases Over 12 Months**

Reasons for cases being over 12 months		Justified?
<b>Case 9 (WIP)</b>	Complaint received by Solicitors Regulation Authority in 2007. In September 2008 customer made a further complaint to the Solicitors Regulation Authority. 2 months later in November 2008 the SRA referred the matter as service complaint to LCS. A file was made up and allocated to caseworker in December 2008. Investigation was undertaken as to whether complaint should be considered as out of time. On 13 January 2009 decision was made to accept complaint out of time. 4 February 2009 complaints were put to former partners of firm, which had closed. In March 2009 the partners responded raising an argument complaints were out of time. April 2009 the LCS requested solicitors' file under S 44B. 30 April 2009 the former partners respond raising further issues over complaints being out of time and decline to release file. May 2009-Advice was sought from senior adviser who advised the preliminary issue over jurisdiction should be passed to Adjudicator for decision. June 2009 report was prepared and issued by caseworker. July 2009 matter was referred for adjudication. 1 September 2009 Adjudicator decided that our investigation should go ahead out of time but did not at that stage make a S44B decision although one had been requested. Solicitors were asked again to produce their file but did not comply and therefore a S44B decision was sought and issued on 22 October 2009. Matter transferred to SRA for enforcement but the solicitors provided their file on 12 November 2009. File has now been reviewed and report is in preparation –it is likely to be referred for adjudication middle of December 2009	Yes
<b>Case 10 (WIP)</b>	This matter was progressed by an outsource firm until 17 April 2009 at which time it was allocated to an internal caseworker. There was a 6 week delay before the caseworker discussed the issues with the solicitor on 1 June and the solicitors provided a full response on 8 June and were not prepared to conciliate. The caseworker then started gathering information to prepare the report. There was another file which had dealt with some of the issues which needed to be referred to in the report and so the caseworker obtained the file after a short delay of 14 days. The customer then advised that there were further documents in their possession. The customer provided these on 5 November and the report was sent to the customer and solicitor on 23 November. There was another short delay due to Christmas but the file was sent to an adjudicator on the 29th December where it still currently is.	No
<b>Case 11 (Closure)</b>	The file was allocated 22nd December 2008 and was investigated with no delay until end of March when caseworker went long term sick, however within 2 weeks of this date the file was reallocated on 6 April 2009. The new caseworker shared conclusions on 15 May 2009. The caseworker needed to get documentation from the new solicitors firm regarding financial effect and contacted them on 20th April 09, 14th May 09, 15th May 09 and 22nd June 09 without success as they did not respond to the letters sent and did not return any calls. On 10th June 09 caseworker asked the customer to attempt to contact the new solicitors to request the detail as their solicitor has a duty to them and not to LCS. On 30th June 09 the customer informed the caseworker that this had been done. There was then a brief delay due to caseworker holiday. On 10th August 09 caseworker sought advice from a senior caseworker, who confirmed that this information is needed and suggested that the new firm was referred to an adjudicator to obtain documentation. Caseworker then requested the customer to do this as they have the power to do so which was done on 10th August 09. Caseworker then received the information from the new solicitor on 11th September 09. Subject firm made an offer 6th October 09 in light of the new evidence. However this was rejected by customer on 16th October 09. Report was then drafted and sent out on 11th November 09. The adjudicator reviewed the report and the decision was made on 8th December 09 but wasn't confirmed to the caseworker until 18th December 09. Final decision letter sent out on 21st December 09, the file was then finally closed on 30th December 09. In summary there was a significant period of delay caused by the customer's new solicitors firm refusing to respond to any requests from the customer or caseworker. It wasn't until the adjudicator's formal decision was produced to obtain the information that the new solicitor complied with any requests.	Yes
<b>Case 12 (Closure)</b>	This was an unusually complex matter that had been returned from the Ombudsman for a third time. The file is voluminous comprising of a box of papers. The caseworker who was asked to review the complaint was of the view that adequate information was available to prepare a report and did so relatively promptly without undertaking a further investigation stage. The report did not adequately reflect the complaints or our powers. A complaint was raised about our service and a technical review completed. The caseworker was asked to complete a supplemental report. The caseworker then did not prepare a report for many months. The caseworker then went on long term sick leave and subsequently left the organisation. The file remained unactioned for this time. The file was passed to another caseworker to complete - it was then nine months old. The new caseworker completed a review and prepared a supplemental report in a very short time. This was then passed to an adjudicator. The Adjudicator upheld all bar one of the complaints and was of the view that more information was needed on the last complaint and stood over that issue. Caseworker then prepared a new report and returned it to the queue for adjudication on 5 November 2009 - where it currently awaits a decision.	No
<b>Case 13 (Closure)</b>	File originally worked on by outsource firm and closed in November 2008 well before deadline. However, after being assessed during a routine audit under our file review process it was discovered that the outcome was technically incorrect and was reopened to be dealt with internally. Since the file has been reopened the decision to reopen the file has been revoked and the file will be closed and dealt with under a new reference as the technicality has only arisen as part of recent process change and wasn't present at the time the file was originally closed.	Yes
<b>Case 14 (Closure)</b>	The complaint was presented by one client on behalf of themselves and two others. The original caseworker failed to assess the matter in so far as separating the complaints, because although the 3 retainers arose from the same incident, each client had an individual claim. Pursuing a joint investigation, led to issues not being addressed The file originally belonged to a caseworker who has now left. A report had been prepared and the was being adjudicated upon from 2/6/09 only being returned on 11/8/09. The adjudicator decided to stand the matter over and issued a 2 page memo indicating what information and actions wanted. Caseworker reviewed comments from adjudicator and compiled a letter and sent to all three customers stating that they will be dealt with individually albeit on the same file. Caseworker was then on annual leave from 13/8 for two weeks. Caseworker sent a further letter requiring information on 18 September. The customers are being extremely dilatory and their current solicitor obstructive. Caseworker is still awaiting a substantive response to both letters. In the meantime the caseworker has obtained the entire files. The matter will be going back to report however, three separate reports will need to be drafted, which will delay the process	No
<b>Case 15 (Closure)</b>	Matter has been dealt with by caseworker from allocation on 8 October 2008 to present. The firm were intervened on 29 September 2008 and an incomplete file of papers was received from the intervention agents on 1 December 2008. These incomplete papers and a lack of other documentation caused difficulties during the investigation and this matter spent too long in the stage of drawing conclusions. There was also no response from the former Partner of the firm. Preliminary conclusions were reached and outlined on 30 March 2009 and then revised in a letter dated 5 June due to further comments from the client and input from a senior colleague. A draft report was prepared on 2 July 2009 (within 8-9 months of allocation). The caseworker should have concluded and prepared the first draft of the report sooner. The intervention agents located and forwarded further papers on 16 July 2009 and accordingly the conclusions and report were reviewed and amended in light of this. The report was then reviewed twice by a senior caseworker who directed the caseworker to revisit an issue and to obtain a deposit interest calculation. The report was then passed to a Casework Advisor who has today authorised the report to be sent out for comments. The matter has already gone beyond the 12 month mark.	No
<b>Case 16 (Closure)</b>	The file was dealt with without delay until December 2008 (file 3 months old) when caseworker was absent for a long period and the file was re-allocated. The solicitor made an offer shortly afterwards which the customer was not happy with. The new caseworker however deemed the offer acceptable and sought confirmation that a reasonable offer made outcome was suitable which was initially confirmed by a senior caseworker. After all letters were drafted and due to be sent, the matter was reviewed by caseworker advisor who asked for clarification on one of the issues raised. After initial analysis it was considered that the matter could not be closed under the reasonable offer made process and needed further investigation into one of the issues. There were then difficulties obtaining responses and evidence from the firm throughout the matter and even more so following the ROM issue, the caseworker requested the file under section 44b, and even then the full file was not produced. The firm then closed and not made any further offers. The report for adjudication has now been produced and currently being reviewed by a senior caseworker. In summary there is some evidence of caseworker delay when the original caseworker was absent, however, the main reasons file has exceeded the 12 month target is due to there being many issues of complaint (approx 16), and difficulties obtaining responses from firm, and ROM procedure failing.	Yes

We do not as a matter of course list insurers cases.

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## Glossary

Term	Definition
<b>Enquiry</b>	A matter where we provide information, clarification or explanations of jurisdiction
<b>Complaint</b>	A matter where action is taken to conciliate or settle or investigate and determine an expression of dissatisfaction about the service provided by a firm of solicitors or the conduct of an individual solicitor
<b>Age Profile</b>	<p>The age profile groupings are measured as follows:</p> <p>0 - 3 months = 0 - 91 days</p> <p>4 - 6 months = 92 - 183 days</p> <p>7 - 9 months = 184 - 274 days</p> <p>10 -12 months = 275 - 365 days</p> <p>12 months &amp; over = 366 days &amp; over</p>
<b>6 Month Rollover</b>	The rollover figure is calculated by comparing what cases in a month are over 6 months old with those that were less than 6 months old the previous month. This also includes matters that were reopened during the previous month
<b>9 Month Rollover</b>	The rollover figure is calculated by comparing what cases in a month are over 9 months old with those that were less than 9 months old the previous month. This also includes matters that were reopened during the previous month
<b>Establishment</b>	Number of FTE posts within the budget
<b>Permanent Staff</b>	Staff as FTE employed by The Law Society as at a particular point in time who have a permanent contract
<b>Temporary Staff</b>	Staff as FTE employed at a particular point in time who have a temporary contract of employment. This will include temporary staff and Agency staff
<b>Staff In Post</b>	Staff as FTE employed at a particular point in time
<b>Starters</b>	FTE Staff joining roles, so either moving into a management, caseworking, or support role. Internal moves within the roles are not recorded in this figure
<b>Leavers</b>	FTE Staff leaving roles, so either moving out of a management, caseworking, or support role. Internal moves within the roles are not recorded in this figure
<b>WIP</b>	Work In Progress - All cases received but not yet resolved, including new complaints awaiting allocation to a caseworker.