

**2010 Performance Update  
Legal Complaints Service**

January 2010



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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

For the 2010 objective there will be a one off audit taking place in Quarter 2 2010. The score from this audit will provide the measurement against this objective.

### Doing it Quickly

**T3:** We will investigate and resolve at least 60% of cases within 3 months of receipt

This Month	YTD	Plan	Variance	Being Met?
70%	70%	60%	10%	✓

**T6:** We will investigate and resolve at least 80% of cases within 6 months of receipt

This Month	YTD	Plan	Variance	Being Met?
90%	90%	80%	10%	✓

**T12:** We will investigate and resolve 99% of cases within 12 months, apart from in exceptional circumstances

This Month	YTD	Plan	Variance	Being Met?
99.9%	99.9%	99.0%	0.9%	✓

### 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?
90%	90%	80%	10%	✓

### Providing Value for Money

**C1:** We will continue to significantly reduce the LCS cost of our service, in real terms

This Month *	YTD *	YTD Plan *	Variance *	Being Met?
£1,222	£1,222	£1,335	-£113	✓

\* Figures shown in £1,000's

### Preparation for Handover & Closure

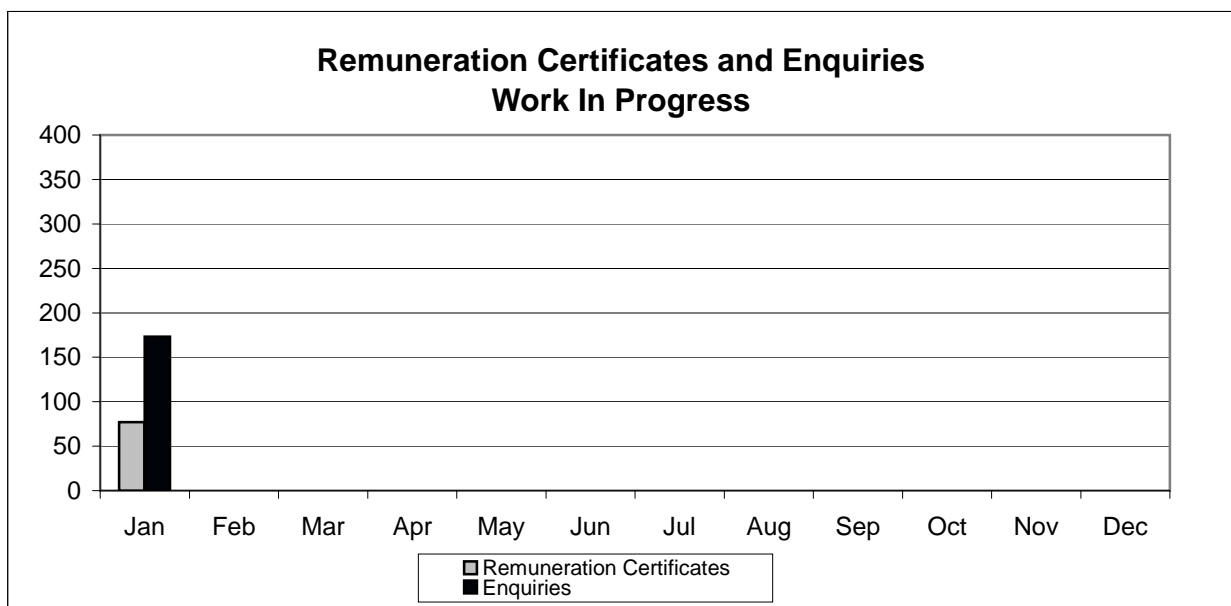
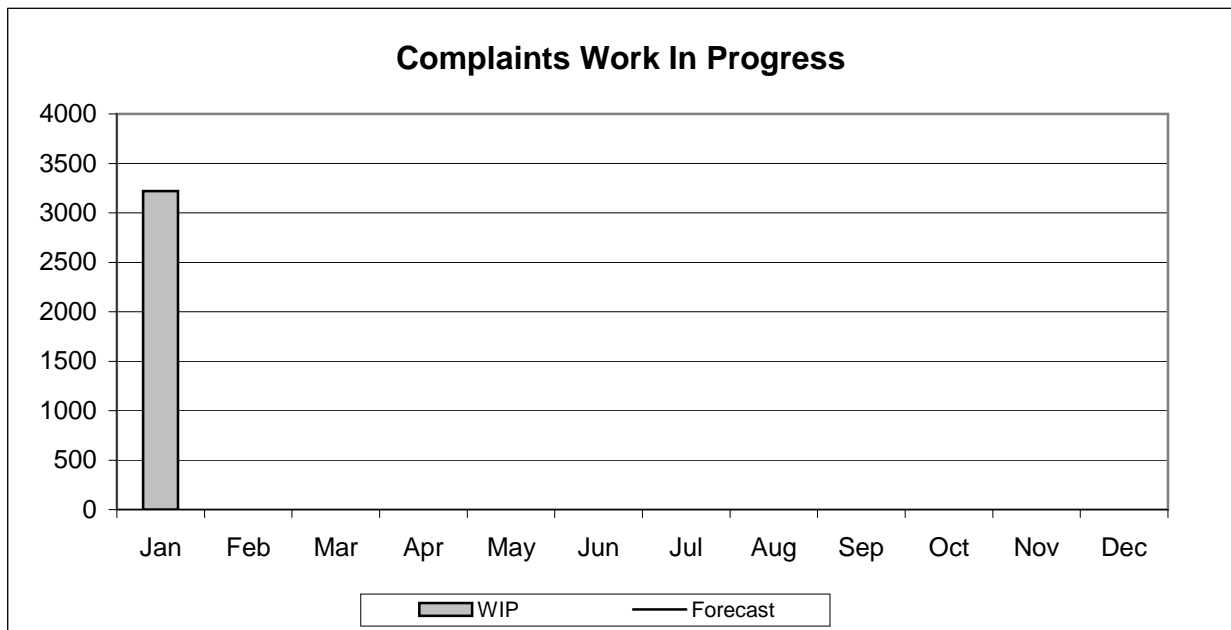
**H1:** Optimise total number of cases in progress (Caseload)

Month End	YTD Plan	Variance	Being Met?
3219	3357	-138 (-4%)	✓

## Summary Throughput

Throughput	WIP Brought Forward	Cases Received	Cases Closed	WIP Carried Forward	WIP Movement
<b>Complaints</b>	3450	1259	1490	<b>3219</b>	-231
<b>Remuneration Certificates</b>	105	1	29	<b>77</b>	-28
<b>All Enquiries</b>	261	326	414	<b>173</b>	-88
<b>Total</b>	<b>3816</b>	<b>1586</b>	<b>1933</b>	<b>3469</b>	<b>-347</b>

These figures include receipts and reopens for all complaints.



## General Throughput Performance Against Forecast 2010

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast Receipts</b>	1007	983	1117	1115	1026	1033	1189	1044	1014	745	501	420	<b>1007</b>
<b>Actual Receipts</b>	1189												<b>1189</b>
<b>Variance</b>	182												<b>182</b>
<b>% Variance</b>	<b>18%</b>												<b>18%</b>
<b>Forecast In House Closures*</b>	936	933	1087	1059	1007	1158	922	653	761	753	756	632	<b>936</b>
<b>Forecast Outsource Closures*</b>	200	200	200	200	250	250	300	300	350	350	400	400	<b>200</b>
<b>Total Closure Forecast</b>	<b>1136</b>	<b>1133</b>	<b>1287</b>	<b>1259</b>	<b>1257</b>	<b>1408</b>	<b>1222</b>	<b>953</b>	<b>1111</b>	<b>1103</b>	<b>1156</b>	<b>1032</b>	<b>1136</b>
<b>Actual In House Closures</b>	1118												<b>1118</b>
<b>Actual Outsource Closures</b>	124												<b>124</b>
<b>Total Actual Closures</b>	<b>1242</b>												<b>1242</b>
<b>Variance</b>	106												<b>106</b>
<b>% Variance</b>	<b>9%</b>												<b>9%</b>
<b>Forecast WIP</b>	2815												
<b>Actual WIP</b>	2829												
<b>Variance</b>	14												
<b>% Variance</b>	<b>0%</b>												

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

\* Please note that the forecast closures may alter month on month as our closure capacity will alter dependant on the caseworking staff we have available to close files - this may also impact on outsourced files and therefore the outsource closures.

## Coal Health Throughput Performance Against Forecast 2010

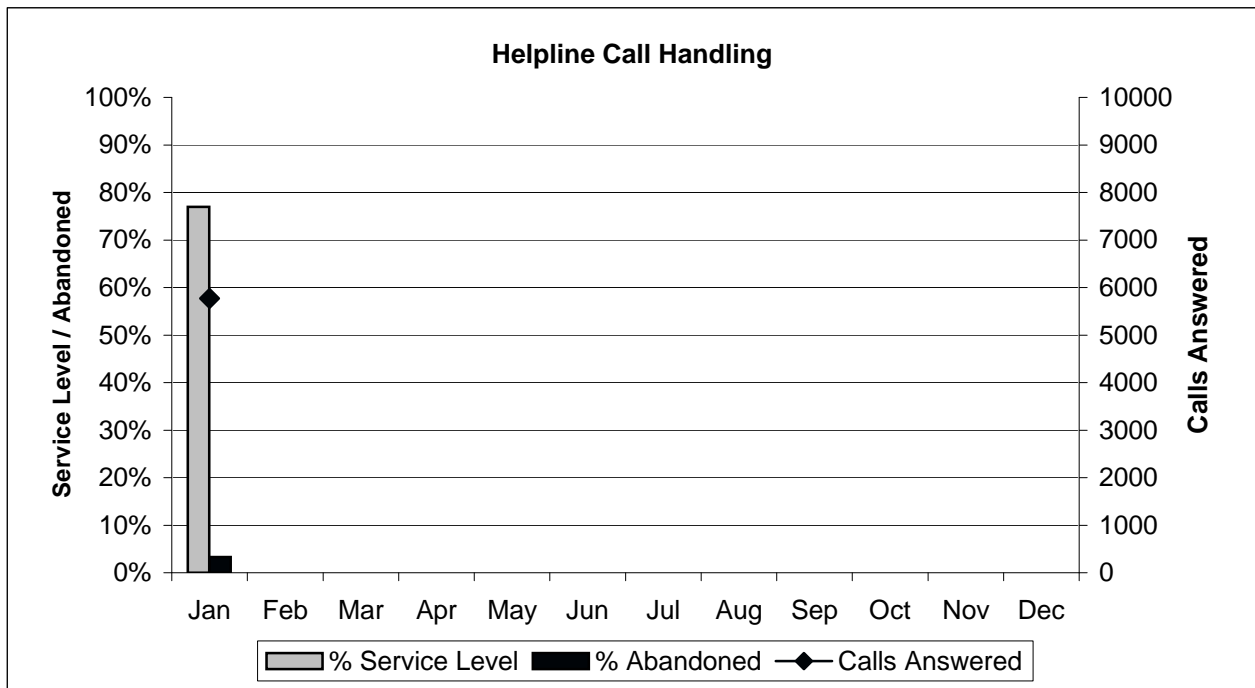
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast Receipts</b>	122	145	181	214	146	136	176	174	181	88	55	76	122
<b>Actual Receipts</b>	70												70
<b>Variance</b>	-52												-52
<b>% Variance</b>	-43%												-43%
<b>Forecast Closures</b>	96	66	72	70	57	62	63	50	59	59	49	42	96
<b>Actual Closures</b>	248												248
<b>Variance</b>	152												152
<b>% Variance</b>	158%												158%
<b>Forecast WIP</b>	532												
<b>Actual WIP</b>	390												
<b>Variance</b>	-142												
<b>% Variance</b>	-27%												

## 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>	2180												2180
<b>4-6 mths</b>	646												646
<b>7-9 mths</b>	247												247
<b>10-12 mths</b>	98												98
<b>All &gt;12 mths</b>	48												48
<b>Insurers &gt; 12 mths</b>	35												35
<b>Coal Health &gt; 12 mths</b>	3												3
<b>Total WIP</b>	<b>3219</b>												<b>3219</b>
<b>WIP Forecast</b>	3347												3347
<b>Rollover 6 mths</b>	99												99
<b>Rollover 9 mths</b>	45												45

## Helpline

Helpline Calls	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast</b>	5795	5886	5975	5414	5209	5755	6087	5407	5559	6283	5835	3986	5795
<b>Calls Accepted</b>	5972												5972
<b>Variance</b>	177												177
<b>% Variance</b>	3%												3%
<b>Calls Answered</b>	5774												5774
<b>Calls Abandoned</b>	198												198
<b>% Abandoned</b>	3%												3%
<b>% Service Level</b>	77%												77%



Due to adverse weather during January it wasn't possible to fully staff our helpline on certain days. This coupled with the higher than forecast calls due to a high number of calls relating to Wolstenholmes has meant that we have failed to reach our service level agreement this month. This is the first time since May 2003 that our service level has dropped below 80%.

## Timeliness of Closures by Month of Receipt

Cases Closed Within 3 Months of Receipt													
Month of Receipt	Oct 2009	Nov 2009	Dec 2009	Jan 2010	Feb 2010	Mar 2010	Apr 2010	May 2010	Jun 2010	Jul 2010	Aug 2010	Sep 2010	YTD
Complaints Received	1509												1509
Closed to Date	1058												1058
Percentage	70%												70%

Cases Closed Within 6 Months of Receipt													
Month of Receipt	Jul 2009	Aug 2009	Sep 2009	Oct 2009	Nov 2009	Dec 2009	Jan 2010	Feb 2010	Mar 2010	Apr 2010	May 2010	Jun 2010	YTD
Complaints Received	1185												1185
Closed to Date	1061												1061
Percentage	90%												90%

Cases Closed Within 12 Months of Receipt													
Month of Receipt	Jan 2009	Feb 2009	Mar 2009	Apr 2009	May 2009	Jun 2009	Jul 2009	Aug 2009	Sep 2009	Oct 2009	Nov 2009	Dec 2009	YTD
Complaints Received	1194												1194
Closed to Date	1184												1184
Closed Percentage	99.16%												99.16%
Exceptions Insurers	1												1
Exceptions Coal Health	4												4
Exceptions Other	4												4
Total	1193												1193
Percentage	99.92%												99.92%

The three tables above show cases closed against the receipt date. So to measure in January 2010 cases that were closed within three months we go back to the cases received in October 2009 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>	129	5	11	1	1	0	0	0	147
<b>Transfers</b>	1	1	1	0	0	0	1	1	5
<b>Total</b>	<b>130</b>	<b>6</b>	<b>12</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>152</b>
<b>Percentage</b>	<b>86%</b>	<b>4%</b>	<b>8%</b>	<b>1%</b>	<b>1%</b>	<b>0%</b>	<b>1%</b>	<b>1%</b>	

## Customer Satisfaction

Customer Satisfaction	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forms Sent</b>	812												812
<b>Forms Returned</b>	367												367
<b>Response Rate</b>	45%												45%
<b>Satisfaction (Service)</b>	90%												90%
<b>Satisfaction (Outcome)</b>	84%												84%

## LCS Budget

	Adjusted Budget	YTD Budget	YTD Actual	YTD variance	Variance %
<b>EXPENDITURE</b>					
Basic Salaries	-9,727,261	-921,996	-893,979	-28,017	3.0%
NI / Pension Contributions	-1,794,829	-169,580	-162,932	-6,648	3.9%
Temporary Staff (Agency)	-371,359	-34,589	-25,254	-9,335	27.0%
Total Paybill	-11,893,449	-1,126,165	-1,082,165	-44,000	3.9%
Other Staff Costs	-55,200	-380	-4,703	4,323	-1137.6%
<b>Total Staff Expenditure</b>	<b>-11,948,649</b>	<b>-1,126,545</b>	<b>-1,086,868</b>	<b>-39,677</b>	<b>3.5%</b>
Printing, Stationery, Postage & Telephone	-250,990	-20,865	-11,078	-9,787	46.9%
Travel & Subsistence & Entertaining	-95,640	-6,511	-4,259	-2,252	34.6%
Ousourcing	-3,501,920	-154,500	-99,303	-55,197	35.7%
Administration costs	-337,496	-26,317	-5,753	-20,564	78.1%
LSCC Fee	-75,000	-25,000	-25,793	793	-3.2%
<b>Total Non-Staff Expenditure</b>	<b>-4,261,046</b>	<b>-233,193</b>	<b>-146,186</b>	<b>-87,007</b>	<b>37.3%</b>
<b>Gross Expenditure</b>	<b>-16,209,695</b>	<b>-1,359,738</b>	<b>-1,233,054</b>	<b>-126,684</b>	<b>9.3%</b>
<b>INCOME</b>					
Income	267,252	24,542	10,614	13,928	56.8%
<b>Net Expenditure</b>	<b>-15,942,443</b>	<b>-1,335,196</b>	<b>-1,222,440</b>	<b>-112,756</b>	<b>8.4%</b>

## Staffing

Staffing	Management	Casework	Support	Total
<b>Current Establishment</b>	53.97	210.38	88.17	<b>352.52</b>
<b>Permanent Staff</b>	49.69	161.15	71.41	<b>282.25</b>
<b>Temporary Staff</b>	0.00	24.80	6.50	<b>31.30</b>
<b>Total Staff in Post</b>	49.69	185.95	77.91	<b>313.55</b>
<b>Variance</b>	-4.28	-24.43	-10.26	<b>-38.97</b>
<b>% Variance</b>	-7.9%	-11.6%	-11.6%	<b>-11.1%</b>
<b>Starters</b>	0.00	0.00	0.00	<b>0.00</b>
<b>Leavers</b>	3.00	5.00	5.36	<b>13.36</b>

## Year to Date Budget Spend Against Forecast

Budget Spend (£ 000's)	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
<b>Forecast</b>	£1,335												<b>£1,335</b>
<b>Actual</b>	£1,222												<b>£1,222</b>
<b>Variance</b>	<b>-£113</b>												<b>-£113</b>
<b>% Variance</b>	<b>-8%</b>												<b>-8%</b>

## LSO Referrals

File Type	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD
Complaints	86												86
Enquiry	0												0
Remuneration Certificates	0												0
<b>Total</b>	<b>86</b>												<b>86</b>
<b>LSO Referrals %</b>	<b>4%</b>												<b>4%</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	47												47
	76%												76%
Critical	7												7
	11%												11%
Reconsider	8												8
	13%												13%
Reconsider & Compensate	0												0
	0%												0%
Compensate	0												0
	0%												0%
<b>Total</b>	<b>62</b>												<b>62</b>

**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>	Yes
<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>	No
<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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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>	Yes
<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.</p> <p>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.</p> <p>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>	Yes
<p><b>Case 5 (WIP)</b></p> <p>The matter was referred to outsource solicitors on 9 January 2009. They spoke to the customer to agree the issues requiring investigation and to find out what the customer would regard as a satisfactory outcome. The customer advised them that their main concern was that a file of papers should be sent as a matter of urgency to their new solicitors to continue with the ongoing case. The outsource solicitors relayed the customer's instructions to the subject firm who sent the file of papers to the new solicitors, however, to save time and on the understanding that sending the file would resolve the complaint, they did not take a copy for their records.</p> <p>The case was referred back to the LCS on 12 February 2009, at which point the customer confirmed that they would like to pursue their complaints of inadequate service. The caseworker spoke to the customer on 5 March 2009 and it then took until 30 April 2009 to agree the issues of complaint and write to the solicitors.</p> <p>The LCS chased the solicitors' response on 18 May 2009 and 9 June 2009 at which point they advised that they were unable to respond to the complaints because they had sent their file of papers to the customer's new solicitors who, when contacted, had advised that the files were currently unavailable because they were being assessed for costing.</p> <p>The solicitors eventually provided their substantive response to the complaint on 2 October 2009 following which the caseworker considered the possibility of resolving the case by conciliation. The report was prepared and disclosed on 14 December 2009 and the case was referred to adjudication on 30 December 2009. The adjudicator's decision was made on 19 January 2010 and sent to the parties on 22 January 2010. Following the solicitors' compliance, the case was closed on 4 February 2010.</p> <p>Overall, the case was delayed because it took six months for the solicitors to provide their response to the complaint. They should have been advised to retain a copy of the file before sending it to the customer's new advisers and the caseworker should have been more robust in requiring them to obtain the relevant documents, from the costs draftsman if necessary, to allow them to respond. It took 11 weeks from receipt of the solicitors' response to prepare the report. In the circumstances, the report should have been prepared at an earlier stage and the caseworker should not have considered resolving the case by conciliation.</p>	Yes
<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>	Yes
<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>	Yes

**Cases Over 12 Months**

Reasons for cases being over 12 months	Justified?
<p><b>Case 8 (WIP)</b></p> <p>This matter is one of a number of complaints brought by a particular customer. The customer has severe disabilities and has posed a particular set of challenges for the organisation. The initial stages of the file involved the caseworker trying to ascertain what the customers concerns were, shortly after however they made a service complaint that the LCS was discriminating against them, due to their disability, because the LCS were not making reasonable adjustments which would allow them reasonable access to our services. To cut a long story short the customer has produced various medical reports detailing their condition and how service providers should deal with them. Shortly before our quality advisor inherited the service complaint file in July last year, the LCS had appointed an independent advocate to assist the customer in making their complaint to us. Our quality advisors involvement therefore has been to try and deal with those service concerns with the inclusion of this advocate; latterly however in around October/November 2009, the customer appears to have fallen out with the advocate and has since refused our quality advisor permission to discuss their case with the advocate. Along the way, both the advocate and our quality advisor have been required to comply with various Questionnaires the customer has presented under the Disability Discrimination Act and our quality advisor has therefore also kept Legal and E&amp;D heavily involved. The quality advisor last wrote to the customer on 22 January basically asking them to agree to a meeting with an LCO to detail their complaint about the solicitors. In this letter it was stated that unless new service issues were raised, the service complaint had now been fully dealt with. The customer was given until 8 February to let our quality advisor know their decision about detailing the complaint about the solicitors. The customer then contacted our quality advisor on 26 January expressing their displeasure at the latest letter and general handling of the matter. They feel that the caseworker, the quality advisor and the independent advocate had not made reasonable adjustments in dealing with their disability. As a result, the quality advisor is now seeking guidance from legal and E&amp;D about a restriction on our further communication with this customer. The quality advisor has drafted a letter to send once the 8 February deadline has passed, explaining any restriction we put in place and letting them know that as we are now unable to progress their complaint about the solicitors, we will be closing our file.</p>	Yes
<p><b>Case 9 (WIP)</b></p> <p>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</p>	Yes
<p><b>Case 10 (WIP)</b></p> <p>This matter was with the original caseworker for 7 months. Initially there was a 5 week delay in the matter being allocated and then the authority of the executors was needed prior to details of the complaint being sent to the solicitors. There was then an 8 week delay before a substantive response was received from the solicitors following which the firm's file was obtained from customers new solicitor. It then took a further 7 weeks for an analysis letter to be sent to the customer. Following this the customer raised further queries and did not accept the caseworkers conclusions, this caseworker then left LCS. The file was transferred to a new caseworker at 10 months when an LCO was instructed in the hope of a conciliated settlement. The matter was with the LCO for 8 weeks and although the solicitors put forward an offer this was not accepted by the customer and ultimately the LCO submitted his report on 26 January 2010 (exactly 12 months after file first opened). Whilst the matter was with the LCO he was hospitalized for 3 weeks which prolonged his investigation. Overall this was a difficult matter, the customers expectations were not properly managed and consequently when an offer was put forward this was rejected resulting in a conciliation not being achieved within the timescales.</p>	No
<p><b>Case 11 (WIP)</b></p> <p>The SRA have intervened into the practice of two of the partners of this firm. One of the partners was taking legal action against the SRA alleging racial discrimination. They have also sought throughout to provoke and confuse our involvement in dealing with these IPS matters, treating us as part of the SRA and trying to get us caught up in the court proceedings. Firm has had a somewhat complex history of partners over the last 3 to 4 years. In each case it has taken time to identify which of the partners is responsible, to get them to accept responsibility and to provide responses. In each case of intervention there has also been delays and confusion in getting the relevant former partners to see the original files. On occasion the intervention agents misplaced a key correspondence file and on another passed the papers on to customers' new solicitors which added to the delay by around 4 to 6 weeks. Finally customer's retainer was extremely complex and they have been very slow in providing information and clarification.</p>	Yes
<p><b>Case 12 (Closure)</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>	Yes
<p><b>Case 13 (Closure)</b></p> <p>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.</p>	No
<p><b>Case 14 (Closure)</b></p> <p>First it should be noted that this was an extremely complex case involving cross jurisdictional issues - Canada and UK. The file had been previously investigated and closed. However when the customer sent in numerous documents these were evaluated by a senior caseworker and a letter written to the customer informing her that the file was to be reopened. The file was reopened but there appears to have been a delay in allocation to a caseworker of three weeks. The file was allocated to the caseworker on 29 January 2009. During February and March the caseworker received a substantial amount of further documents from the customer and these needed to be considered as well as the files from the previous investigation which included a box containing hundreds of copy documents which had been received from the solicitors. A draft of the initial letter to the solicitor was prepared. The customer wished to ensure that the issues under complaint were accurately set out in the initial letter to the solicitors and the draft letter was sent to them on 20 March 2009. Once this had been discussed and agreed with the customer the letter was sent to the firm on 1 May 2009. A response was received from the firm on 21 May 2009. There were further email exchanges between the customer and the caseworker. The customer's emails contained lengthy attachments. The customer asked us to delay our investigation for a short period. On 14 August 2009 the caseworker spoke to the customer and anticipated being able to prepare and disclose the conclusions on the complaints within 14 days. At that point the customer provided further information which needed to be considered. A period of leave by the caseworker caused some delay here although the volume of documentation which needed to be considered meant that the conclusions letter was not sent to customer and solicitor until 6 November 2009. Comments on the conclusions were received from the customer on 18 November 2009. However, the solicitors requested an extension of time for their comments, stating that they needed to review 24 boxes of files in connection with the case. On 18 December they sent a bundle of documents for consideration and on 21 December 2009 provided their comments. The report for adjudication, which contained substantially the same recommendations as the conclusions letter, was sent to the parties on 21 December 2009 for comment. Comments were received between 1 and 11 January 2010 upon which date the matter was sent for adjudication. The Decision was received and sent to the parties on 27 January 2010. The file was closed on that date.</p>	Yes
<p><b>Case 15 (Closure)</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 Casework 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>	Yes

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

## 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.