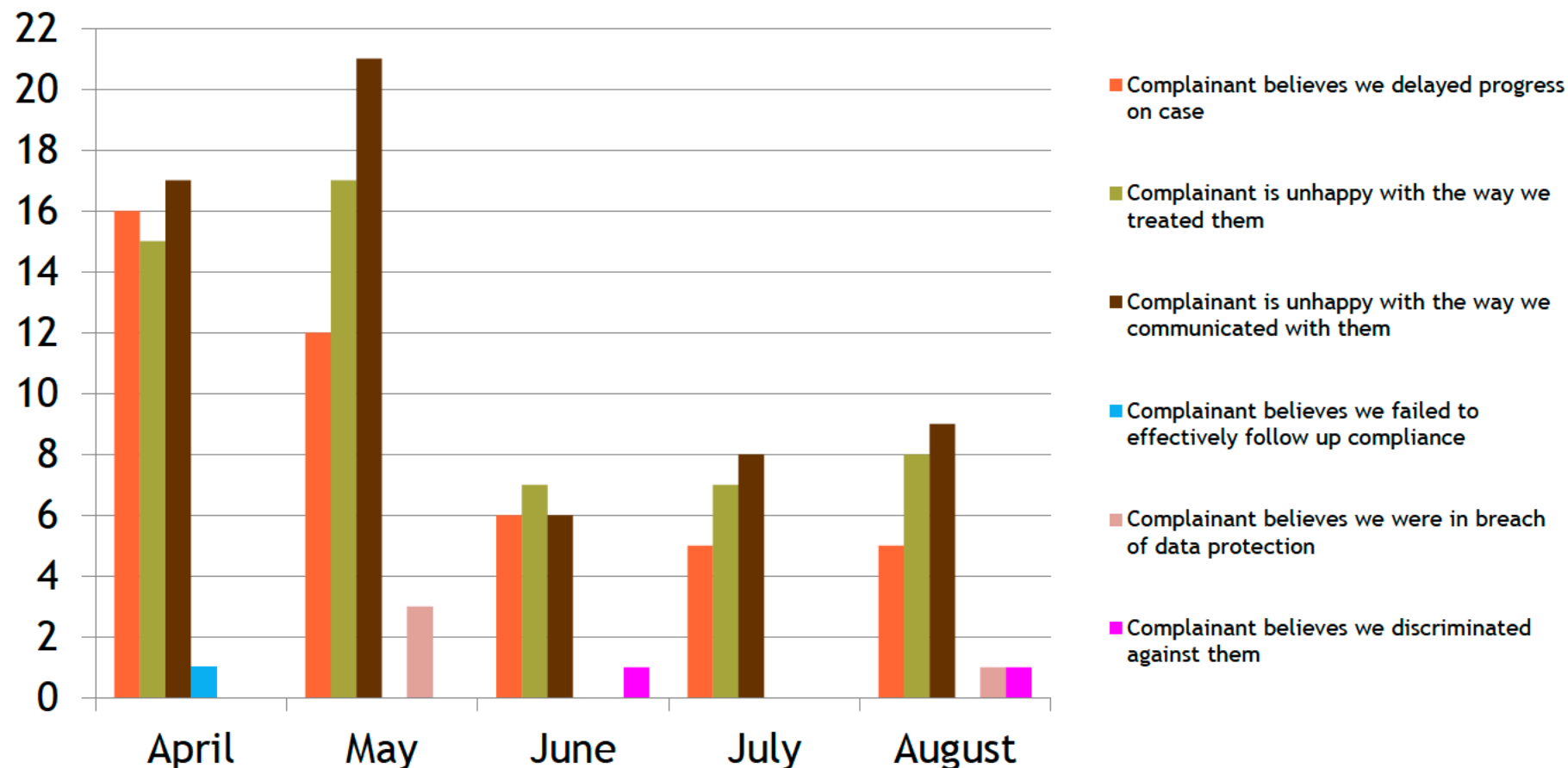
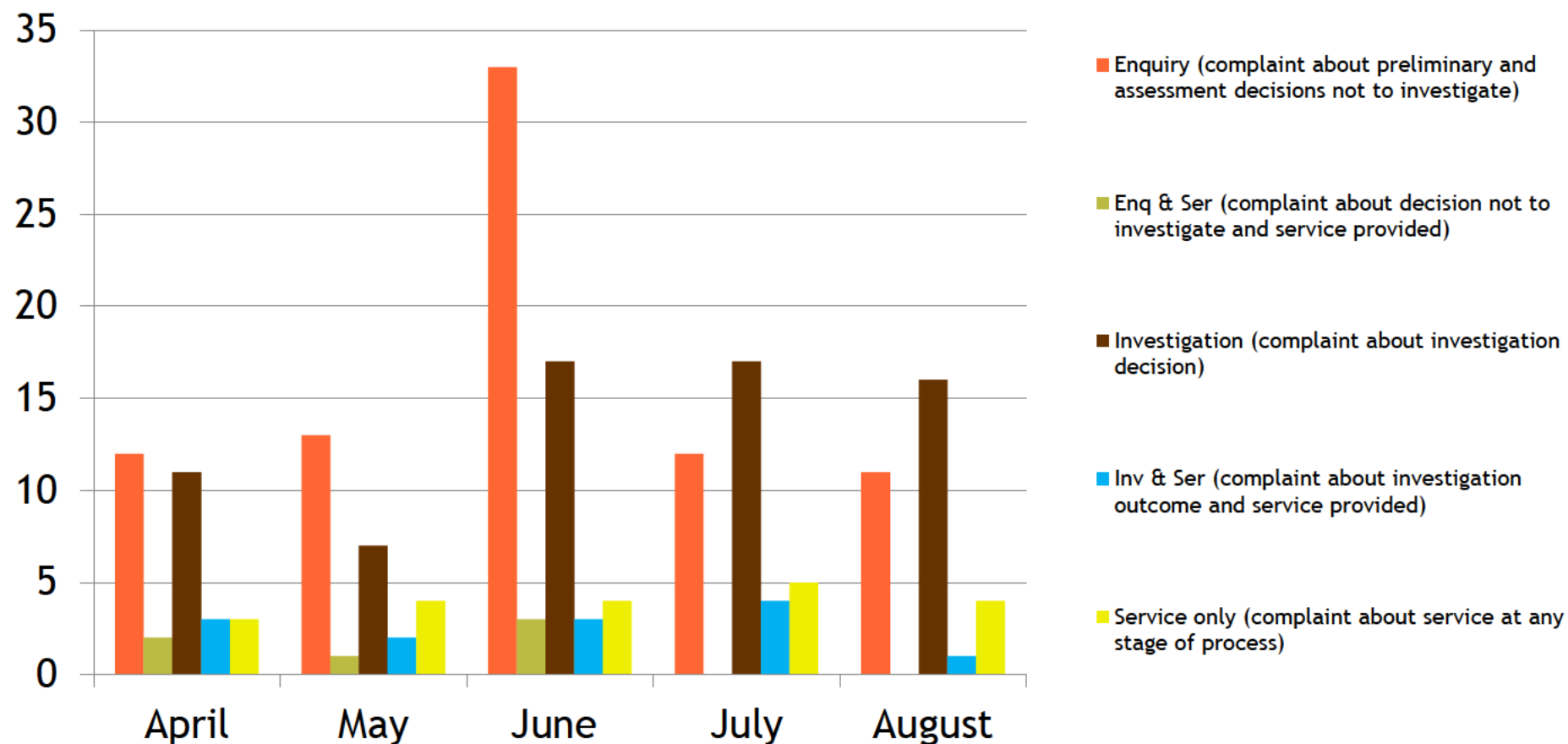


Basis of Review Requests in respect of Service Provided



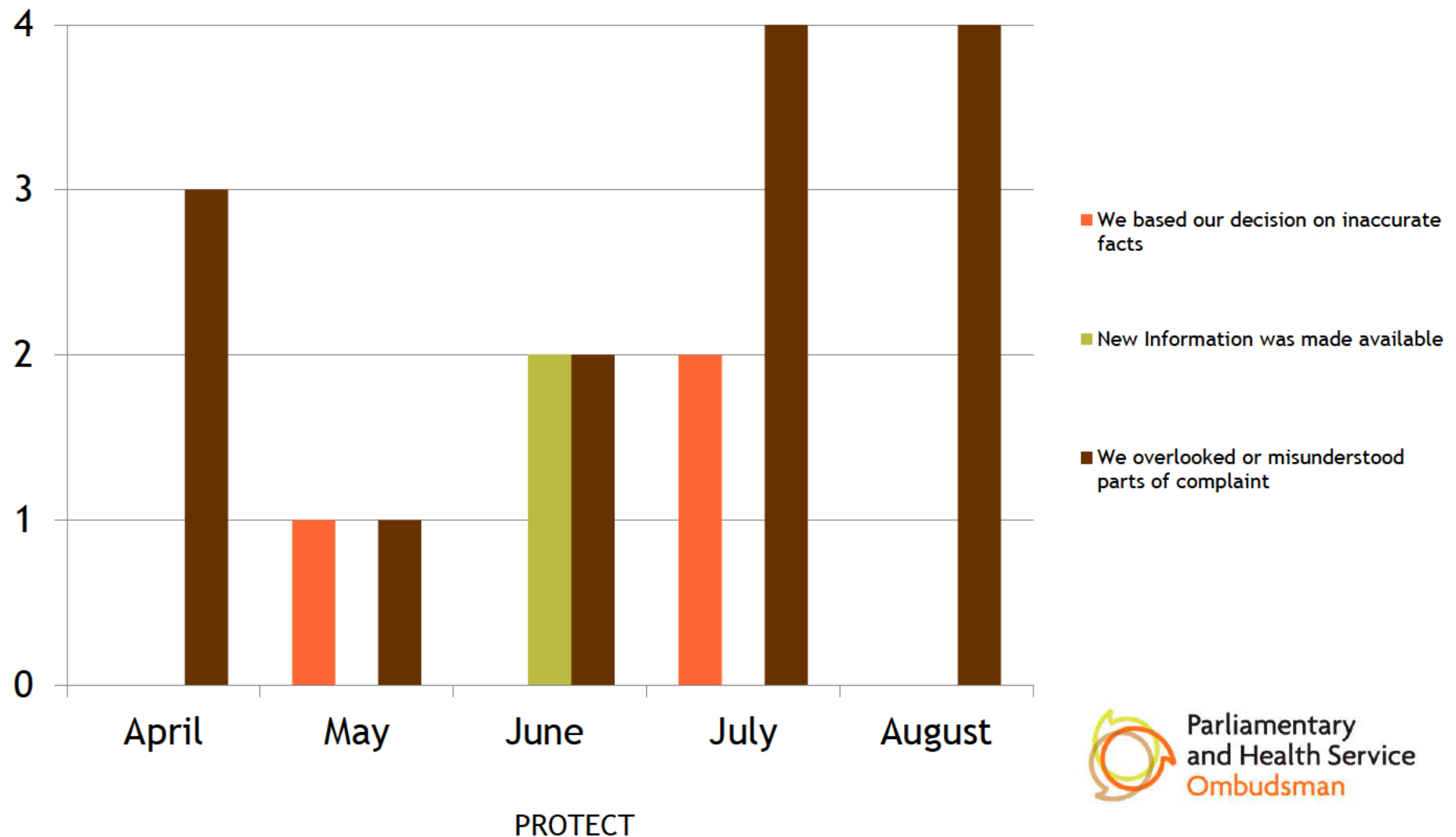
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Accepted Reviews

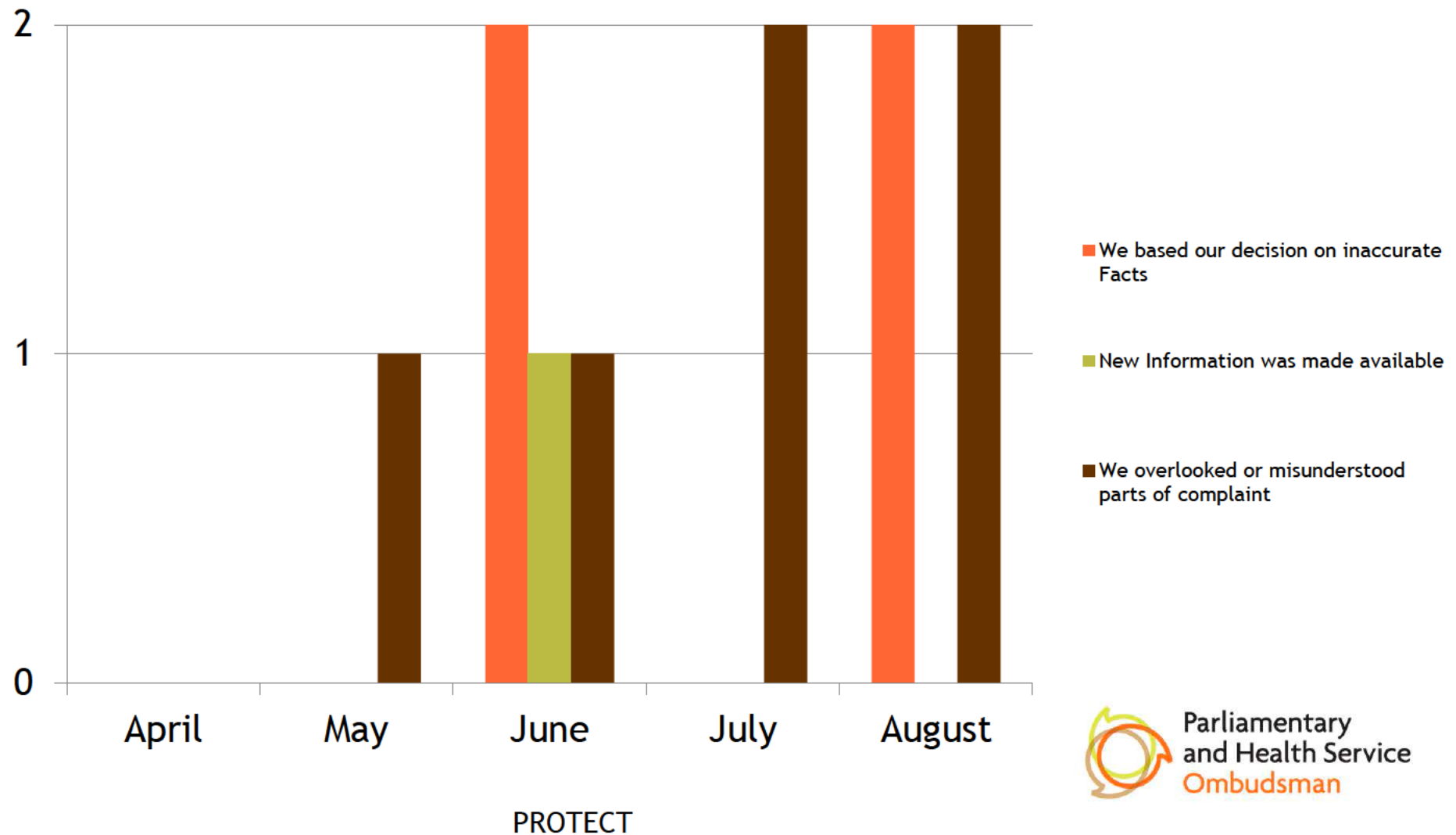


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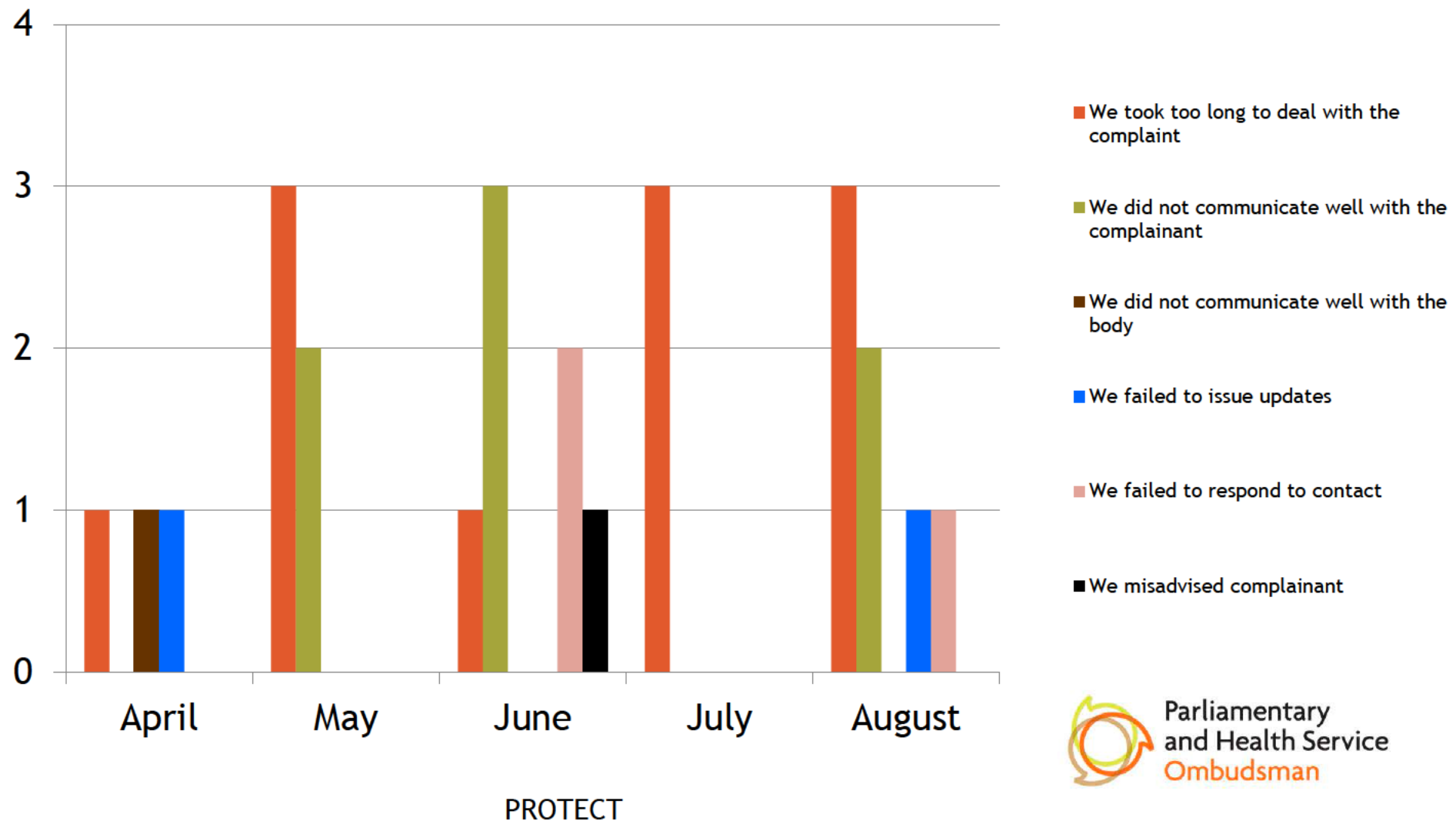
Reasons for Upholding/Partly Upholding Enquiry (preliminary & assessment) Reviews



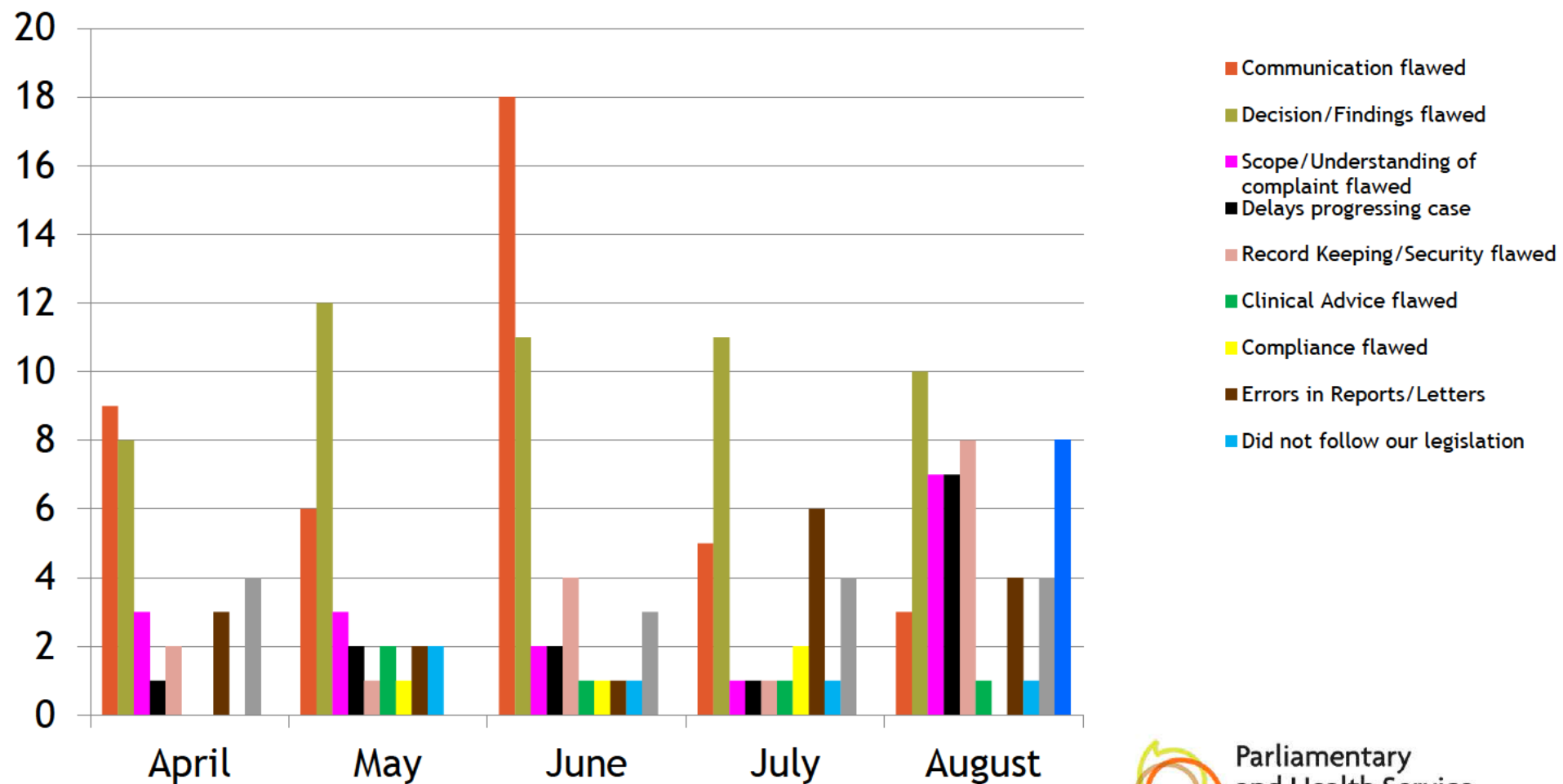
Reasons for Upholding/Partly Upholding Investigation Reviews



Reasons for Upholding/Partly Upholding Service Reviews



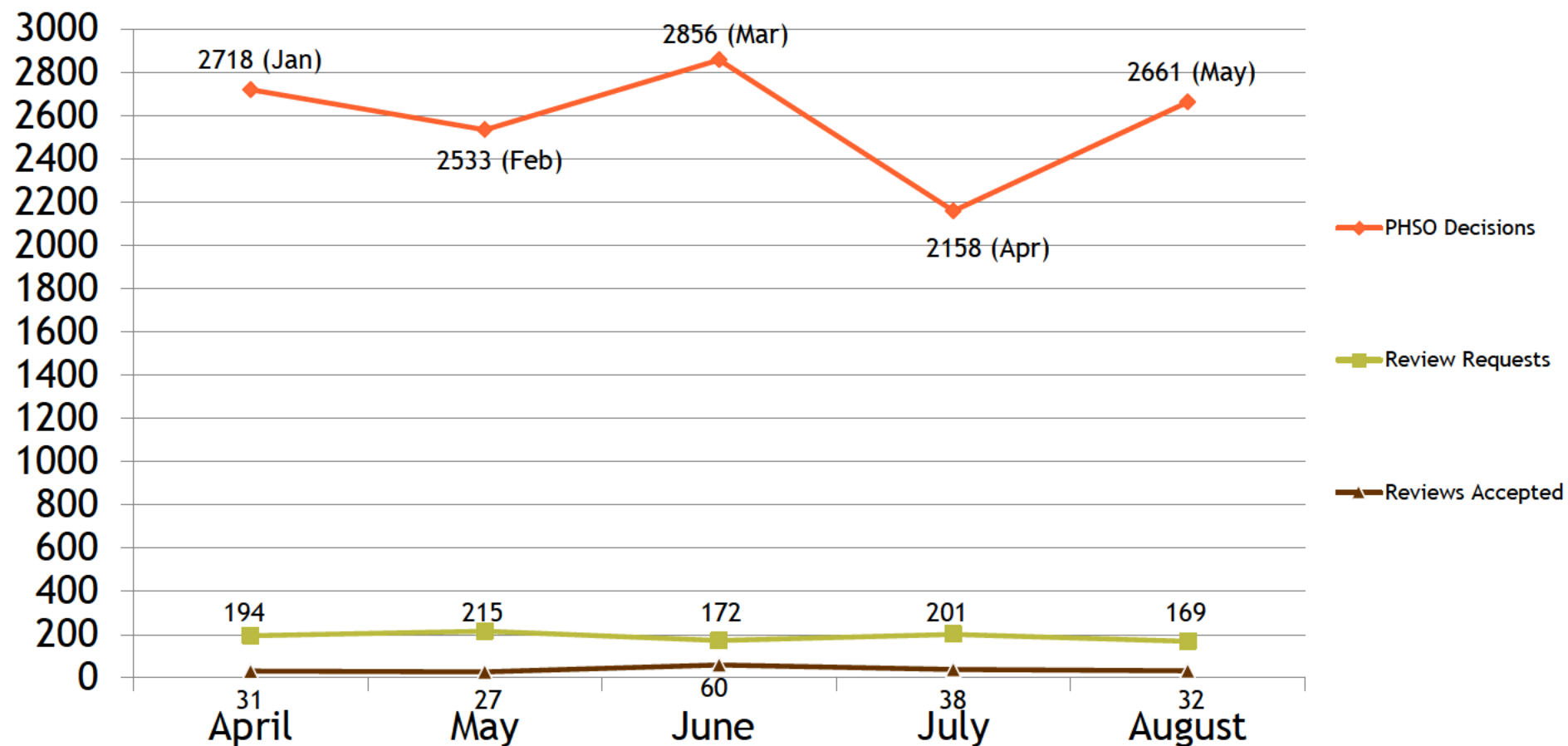
Type of Handling Lessons



*Time limit category introduced in August

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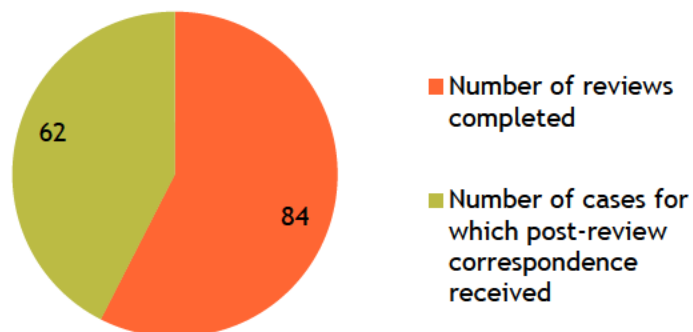
Review Requests



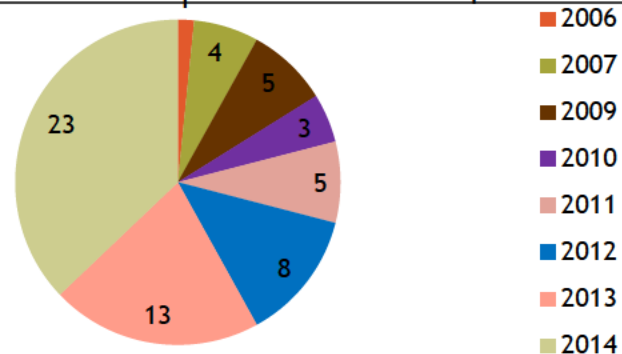
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Post-review correspondence

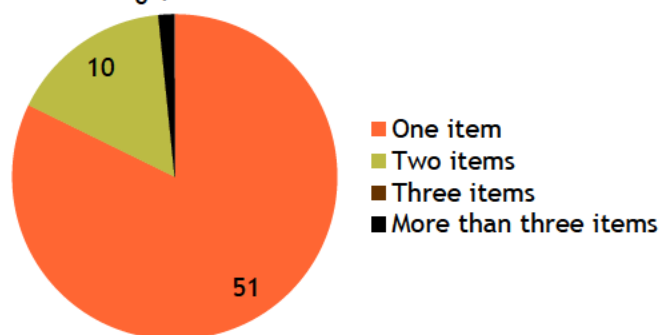
Amount received compared to reviews closed since 1 July 2014



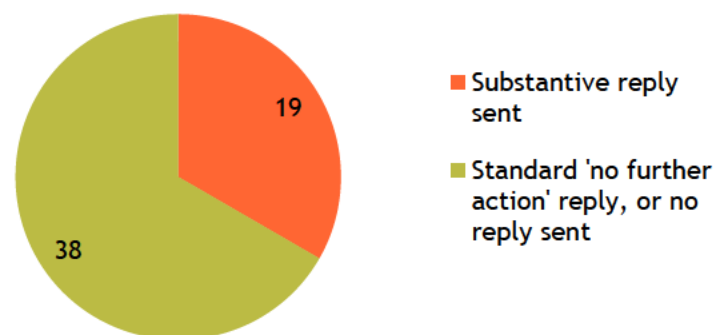
Closure dates for each case we've received correspondence on



Items of correspondence received per case *



Action taken



* These figures do not reflect that we will have received post-review correspondence on some of these cases prior to 1 July 2014

Year to Date Figures

	Work Numbers Volume	Enquiry (includes preliminary & assessment)	Investigation		Service provided by PHSO	
Total	12,940 (assessments & investigations)	11,338	1,602		3,304 (all cases in hand/waiting)	
Decisions	12,940 (assessments & investigations)	11,388	Upheld 610	Not upheld 992	N/A	
Requests	951	409	417		Service 71	Service & Decision 54
Accepted	188	81	23	45	20	19
Upheld (total)	52	21	2	8	14	7
Upheld (%)	0.40% (against total decisions)	0.18% (against total assessment decisions)	0.62% (against total investigation decisions)		0.42% (against all cases in hand/waiting)	0.21% (against all cases in hand/waiting) ¹⁸



Parliamentary
and Health Service
Ombudsman

Monthly Management Information

Review Team

September 2014

Summary

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Recommendations for Intervention

<u>Recommended intervention</u>	<u>Intervention to be co-ordinate and recorded by Quality and Service Integrity Directorate</u>
Caseworkers need to be equipped to explain accurately and positively any delays in progressing a case.	s 40(2) has shared a draft text from Neil Armstrong with Assistant Directors for comment; comments back to NA for consideration in early October.
Caseworkers need to be equipped to explain to our customers our approach to remedy.	s 40(2) has drafted text for caseworkers which should be available in early October.
The PHSO website needs to contain information about investigation timeframes.	Issue raised with Chris Morgan.
We need to make a policy decision (and update CP&G accordingly) on whether, when considering injustice in relation to out of time complaints, we look to establish a link between the claimed injustice and the alleged maladministration, or whether we should limit ourselves to establishing whether the claimed injustice provides grounds to put the time limit to one side.	Pending policy work.
Consider whether guidance for staff is required for when customers request to speak to a senior manager. Our approach currently is inconsistent.	Neil raised the issue at the Safeguarding meeting of 29 July. This issues will be added to the behavioural training on safeguarding that is being planned for later in Q3/early Q4.
The words stress and distress are used in our decision letters/reports as default terms for someone who is annoyed, upset or put out by an action, but they are not always applicable/appropriate. Perhaps we should advise staff to consider more variety in our use of nouns.	s 40(2) has drafted text for caseworkers which should be available in early October.

Recommendations for Intervention

<u>Recommended intervention</u>	<u>Intervention</u>
Caseworkers need to receive guidance and training on the considerations required when looking to see whether the statutory time limit applies to a case	Pending Policy work
We want to flag that the quality assurance process for casework relies heavily on the reliability of the information that is presented to those carrying out the checks. The process inevitably becomes ineffective if the information presented is unreliable. We recommend that there is discussion around whether the quality assurance process is as effective as we want it to be.	The revised process and forms for line manager QA (and central sampling) is in circulation for comment as of 26/9/14.
Is it recommend that we reconsider our approach to the so-called 'quick investigations' and at least explicitly give the complainant an opportunity to request an extension to our deadline for responding to draft reports.	
<p>the Review Team has been concerned for some time about the way Customer Services have been instructed to 'turn the tap off' by departing from our usual practice of positively exercising discretion on out of time cases where we can. Your report has highlighted that the positioning of meeting their targets as the most important factor for them has meant that they have not been speaking to the complainant to get the information we need from them to be able to exercise our discretion properly.</p> <p>I thought you therefore may be interested in knowing the outcome in this case which we have fully upheld and achieved a financial remedy for financial loss the complainant suffered as a result of CSA error. The case was originally declined as out of time by customer services and when the complainant complained about that, his complaint was upheld by the Review Team.</p> <p>Some valuable learning for colleagues there I think. Perhaps you could use this contextual information in your feedback to senior colleagues about the impact on our operations of changes</p>	

Upheld/Partly Upheld Reviews by Team

Position	Team	Decision			Service			Overall Total
		YTD	Sep-14	Total	YTD	Sep-14	Total	
1=	CST3	4	2	6	0	0	0	6
	H6	2	2	4	1	1	2	6
3=	Allocation	0	0	0	5	0	5	5
	CST6	3	1	4	1	0	1	5
	H3	3	1	4	1	0	1	5
6=	CST1	2	0	2	2	0	2	4
	CST2	2	1	3	1	0	1	4
8=	Clinical Advice	2	0	2	1	0	1	3
	H2	3	0	3	0	0	0	3
	P2	0	1	1	1	1	2	3
11=	CST5	2	0	2	0	0	0	2
	CST7	1	0	1	1	0	1	2
	H1	1	0	1	1	0	1	2
	H5	0	1	1	1	0	1	2
	P4	2	0	2	0	0	0	2
	PHSO	0	0	0	2	0	2	2
	Review Team	0	0	0	2	0	2	2
18=	Analytics, Insight & Research	0	0	0	1	0	1	1
	Associate Caseworker Team	1	0	1	0	0	0	1
	C1	0	0	0	1	0	1	1
	C2	1	0	1	0	0	0	1
	Departed Users	1	0	1	0	0	0	1
	H4	0	0	0	1	0	1	1
	H8	1	0	0	0	1	1	1
	H9	0	0	0	1	0	1	1
	H11	1	0	1	0	0	0	1
	P3	0	0	0	1	0	1	1

*The numbers in this table will not equate to the total number of upheld complaints because the reasons for upholding can be attributed to more than one team

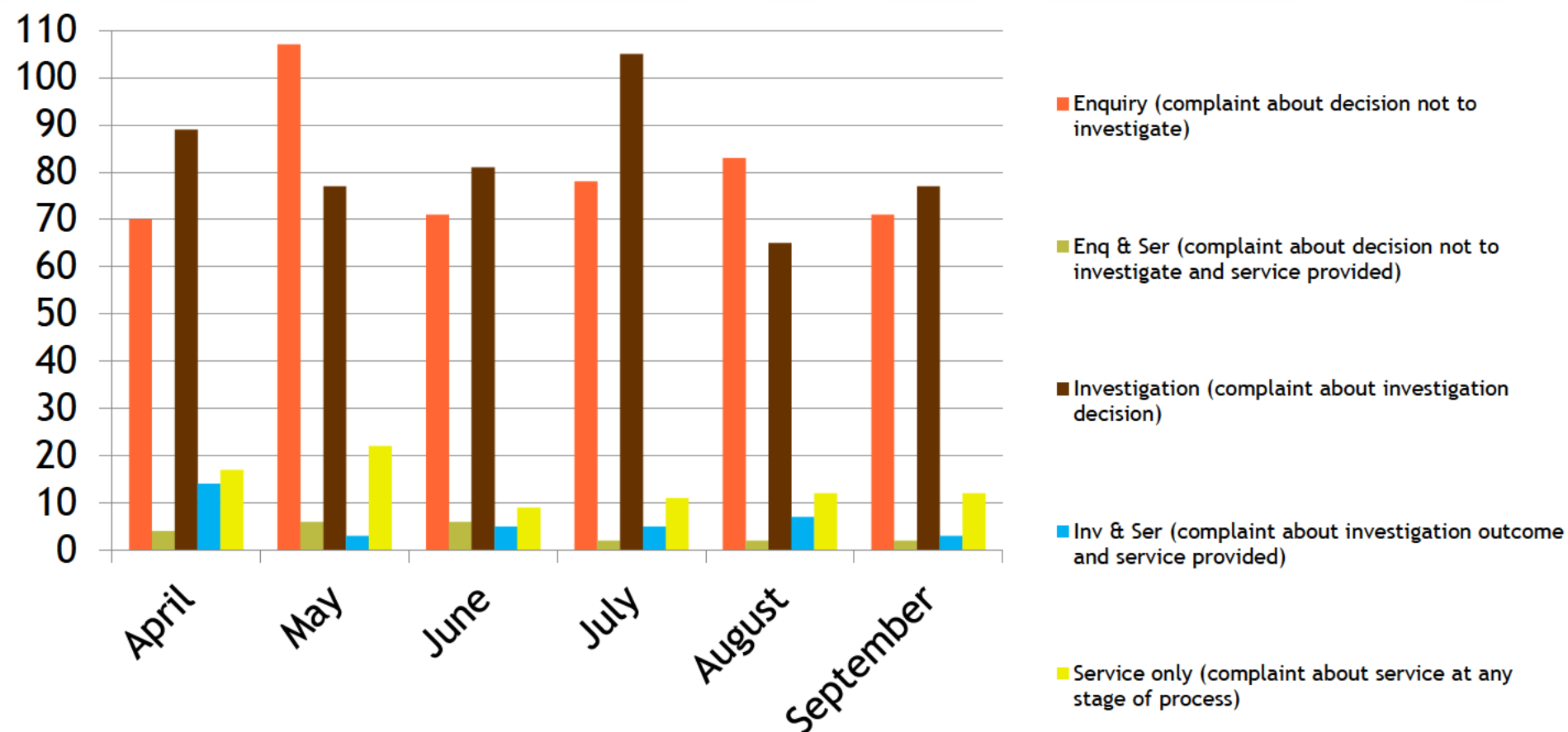
Handling Lessons by Team

(handling lessons can be identified on both upheld and not upheld reviews)

Position	Team	YTD	Aug-14	Total
1	CST6	20	5	25
2	CST3	15	5	20
3	H6	14	5	19
4	CST5*	15	0	15
5	CST2	12	2	14
6	CST1	12	0	12
7	H3	8	3	11
8	H2	9	1	10
9	H8	8	1	9
10=	Clinical Advice	8	0	8
	H11	8	0	8
	Review Team	8	0	8
	PHSO	6	2	8
	P2	4	4	8
15=	Allocation	5	0	5
	H1	5	0	5
	H10	2	3	5
	P1	5	0	5
19=	CST7	4	0	4
	H4	4	0	4
	P4	4	0	4
22=	C1	3	0	3
	H5	2	1	3
24=	C2	2	0	2
	H7	2	0	2
	H9	2	0	2
27=	Analytics, Insight & Research	1	0	1
	Associate Caseworker Team	1	0	1
	Associate Investigation Team	1	0	1
	CST4	1	0	1
	Legal Team	1	0	1
	P3	1	0	1

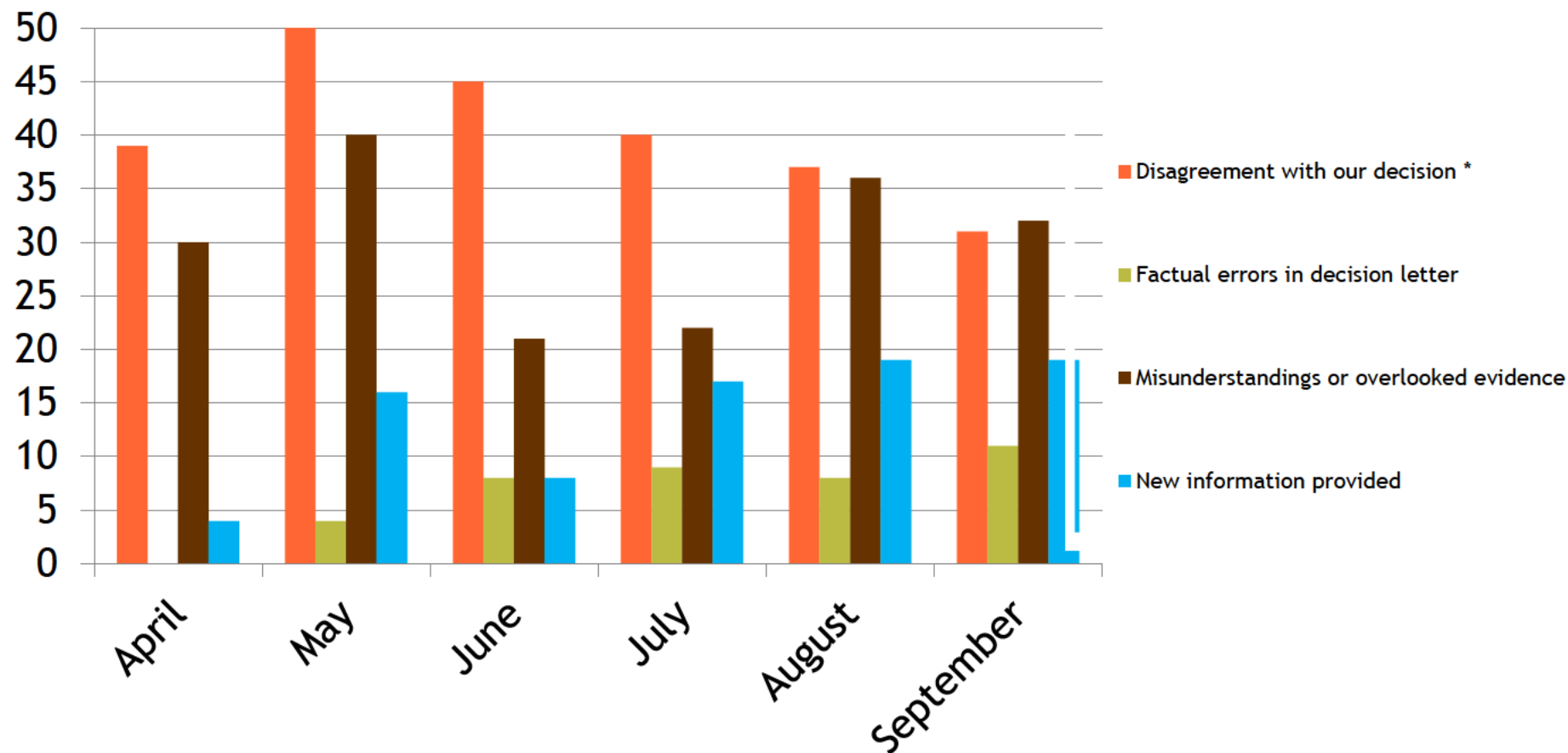
*2 CST5 handling lessons were identified (in May) while assessing request for review. We declined the review request because it did not meet the review criteria (case EN-180175).

Type of Review Requests



Basis of Review Requests

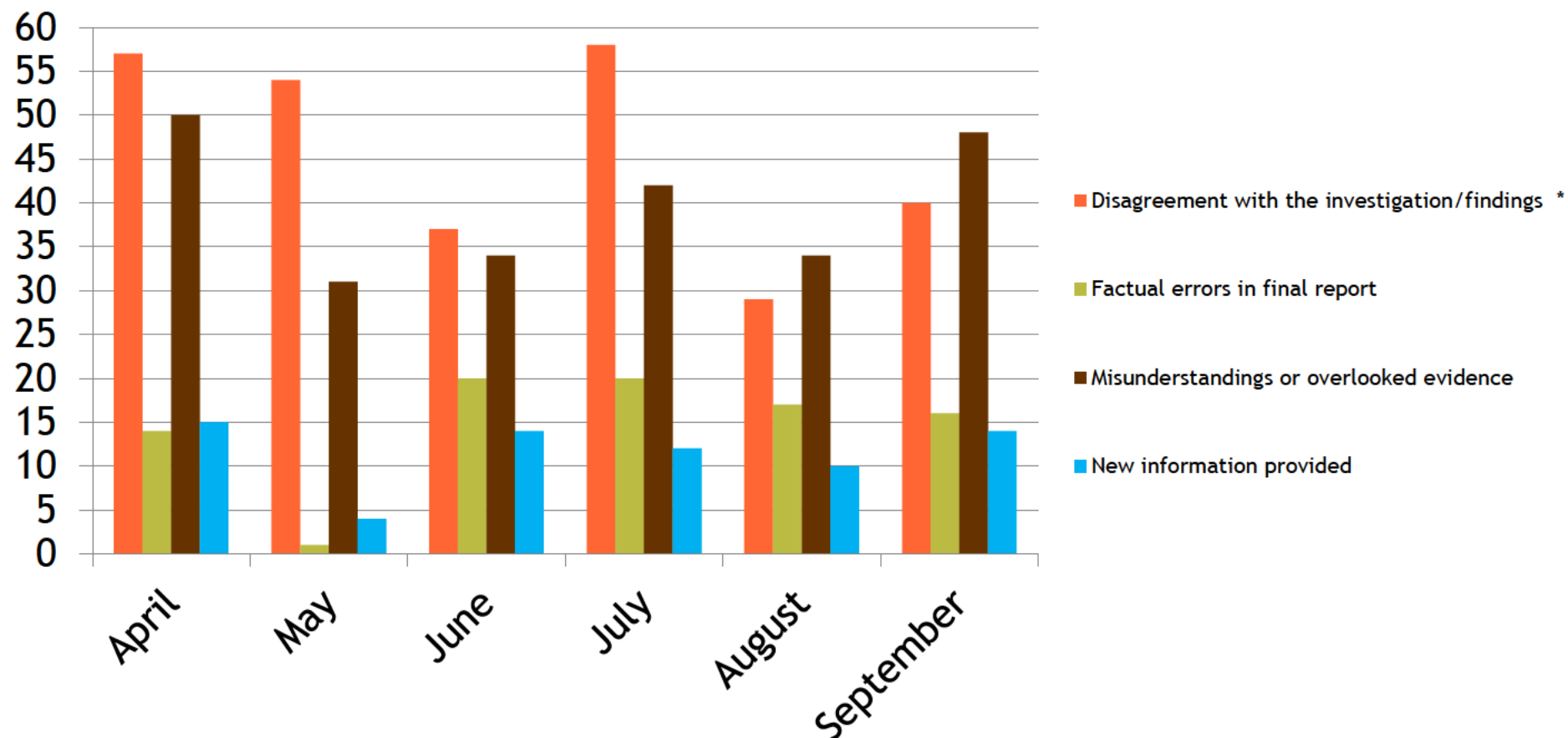
Enquiry Stage (preliminary & assessment)



* Previous reports included a separate category for 'decision biased'. For clarity, this is now combined with 'disagreement with our decision'.

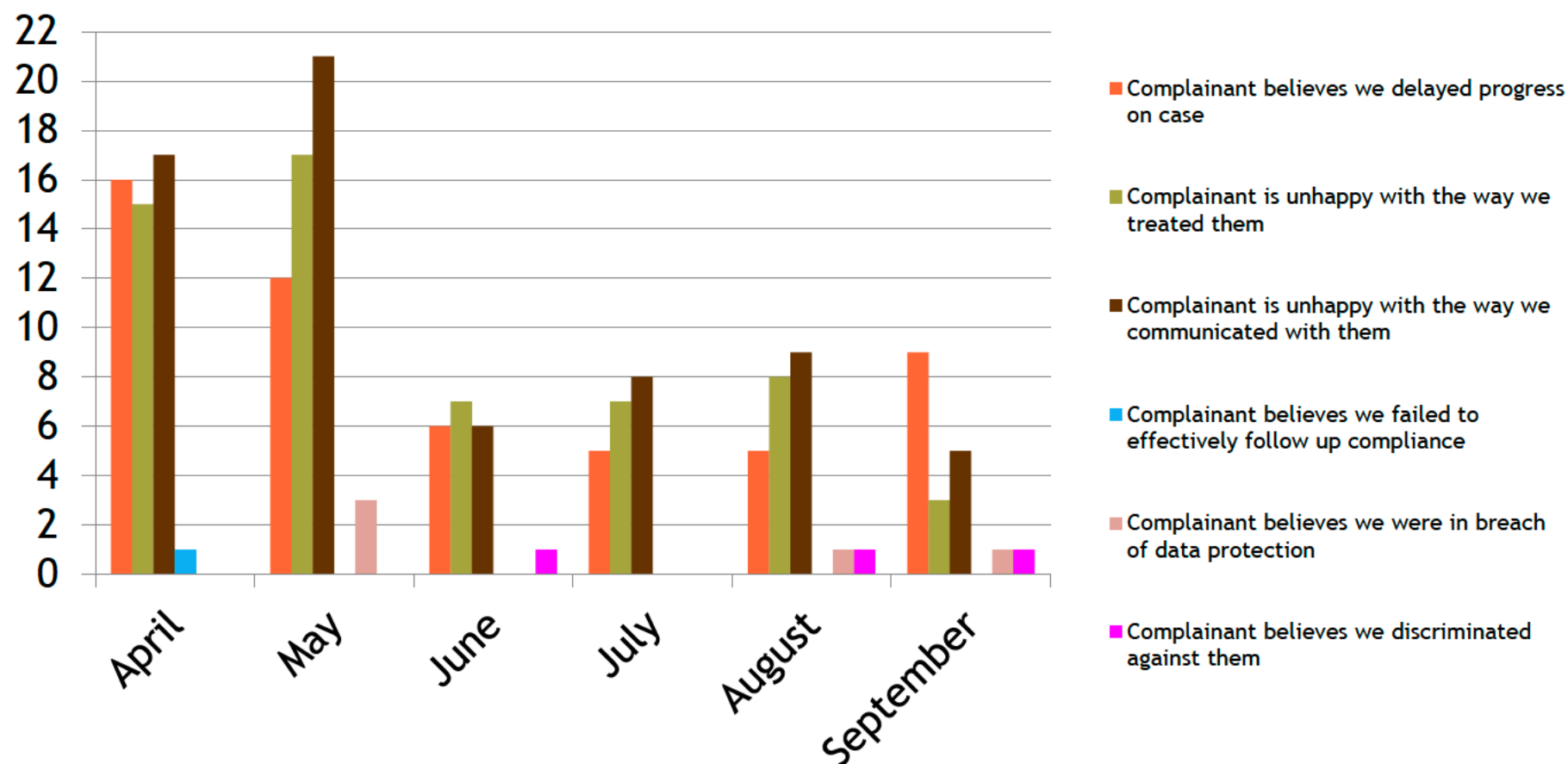
Basis of Review Requests

Investigation Stage



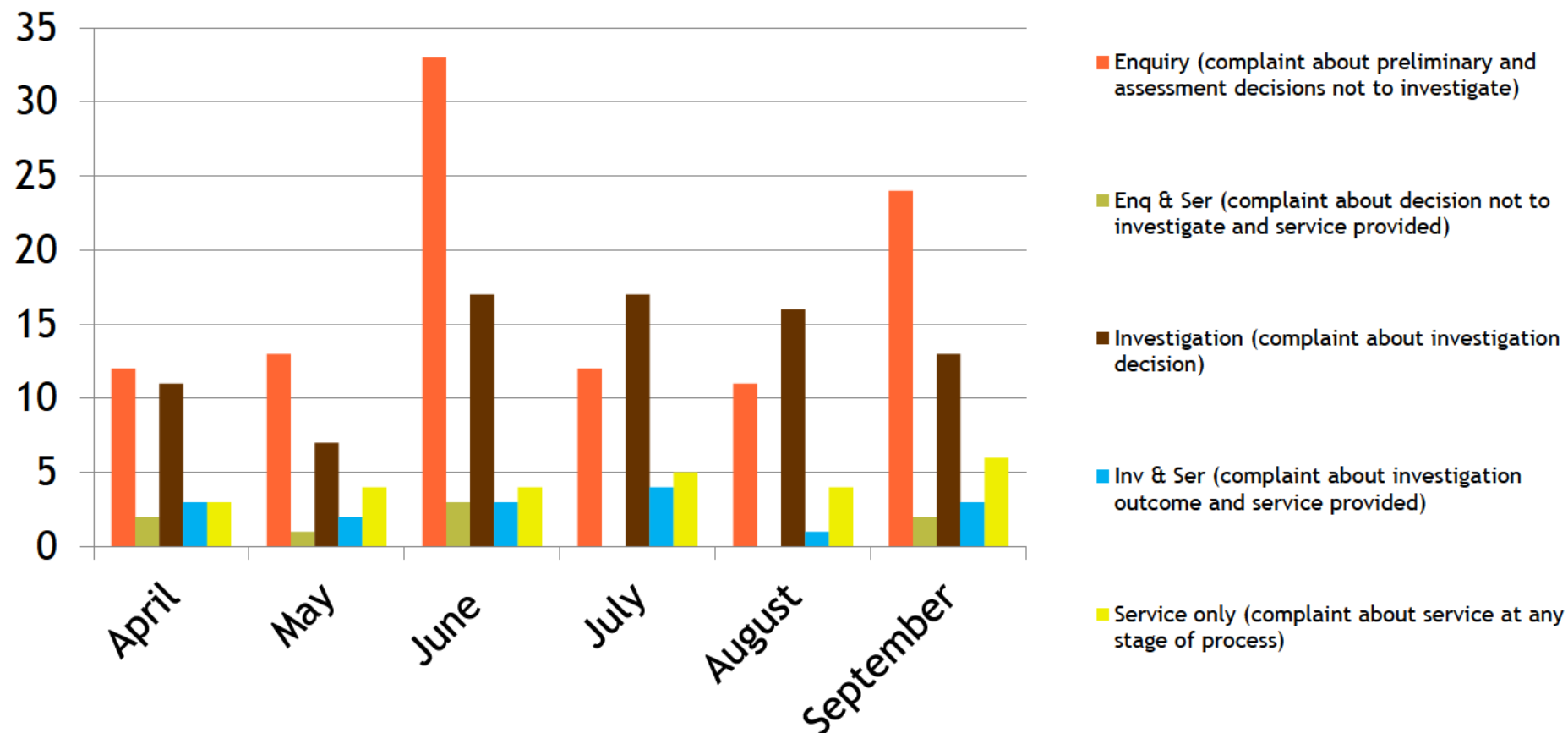
* Previous reports included separate categories for 'comments on draft report not thoroughly considered' and 'decision biased'. For clarity, these are now combined with 'disagreement with the investigation/findings'.

Basis of Review Requests in respect of Service Provided



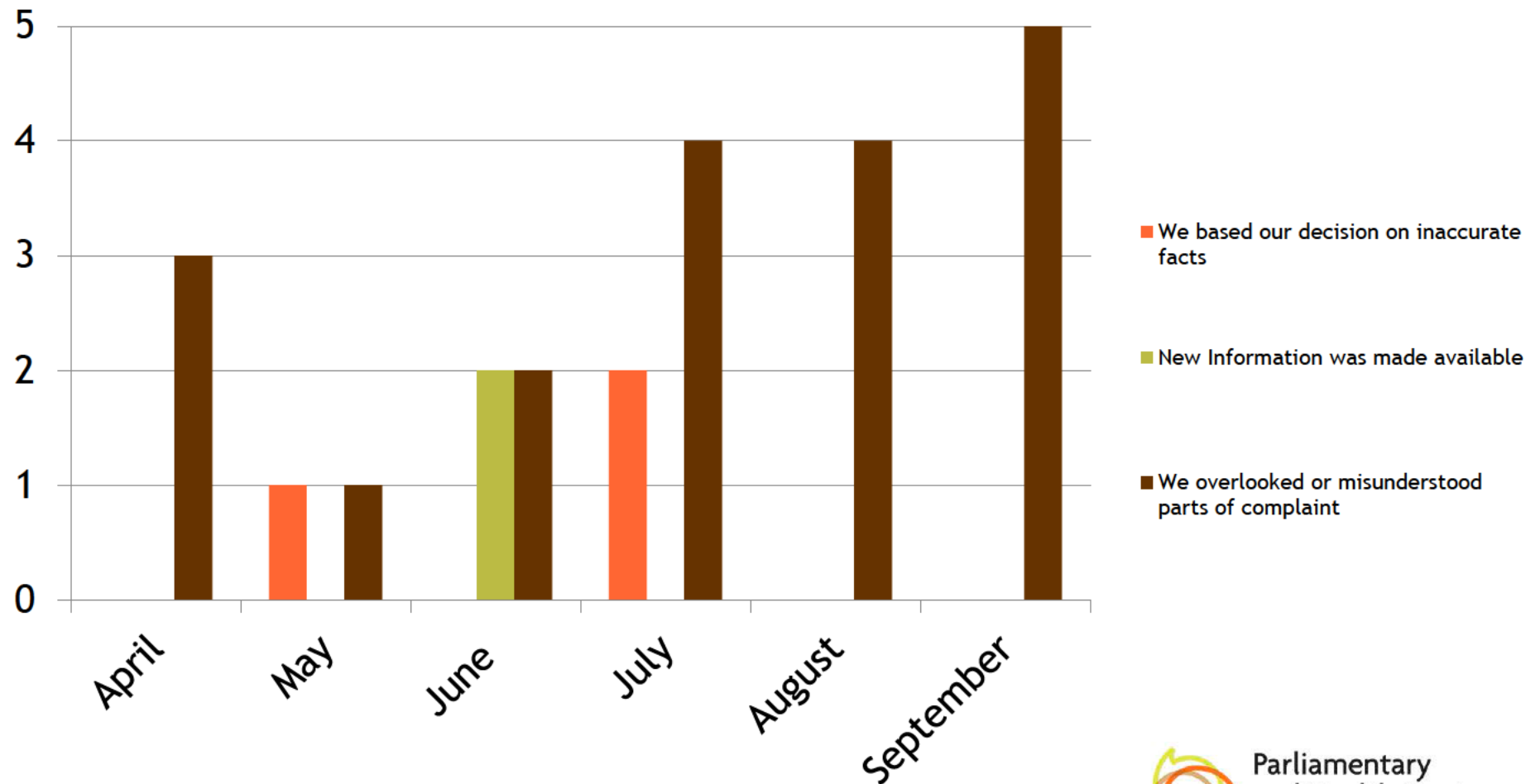
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Accepted Reviews



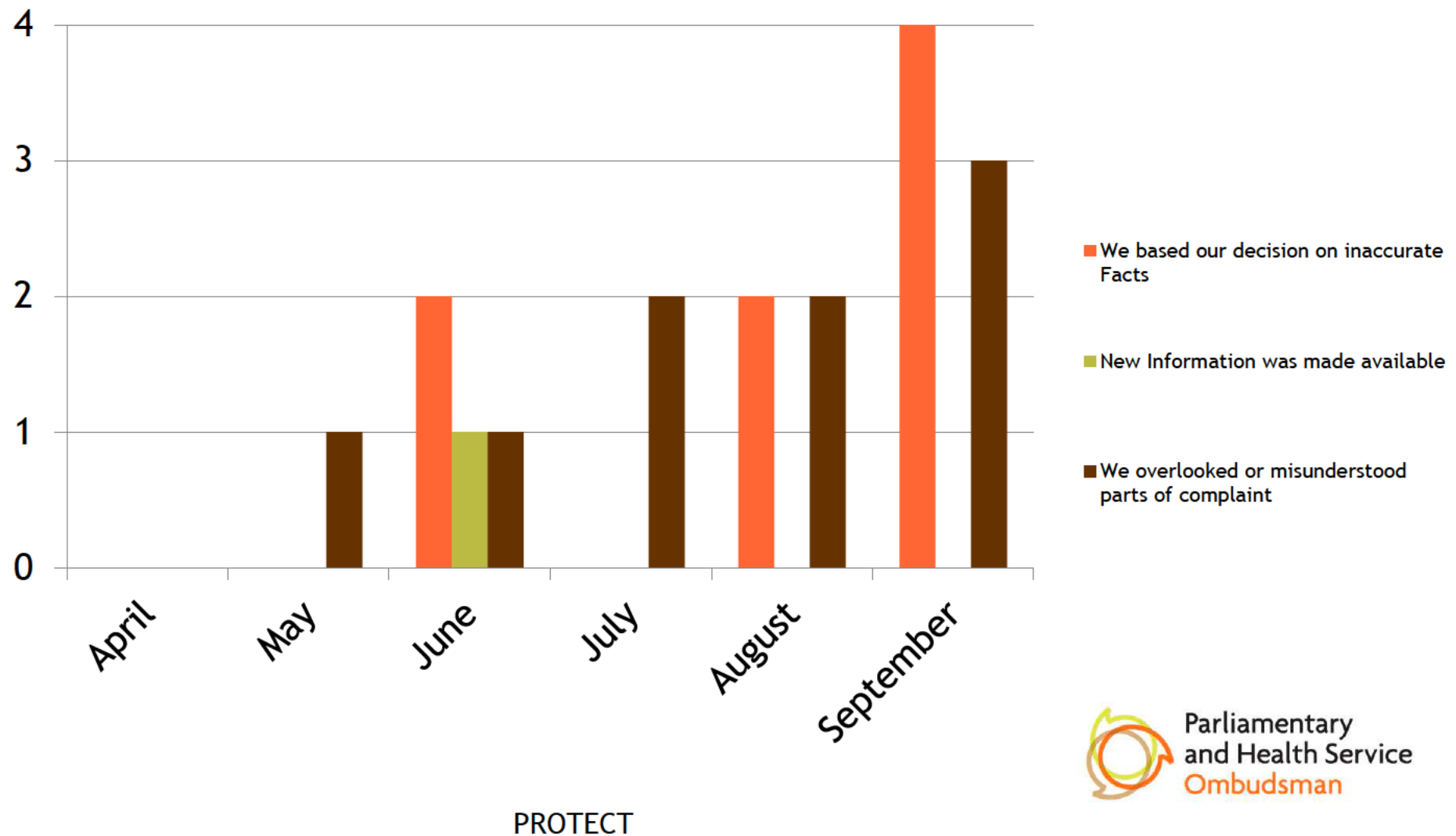
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Reasons for Upholding/Partly Upholding Enquiry (preliminary & assessment) Reviews

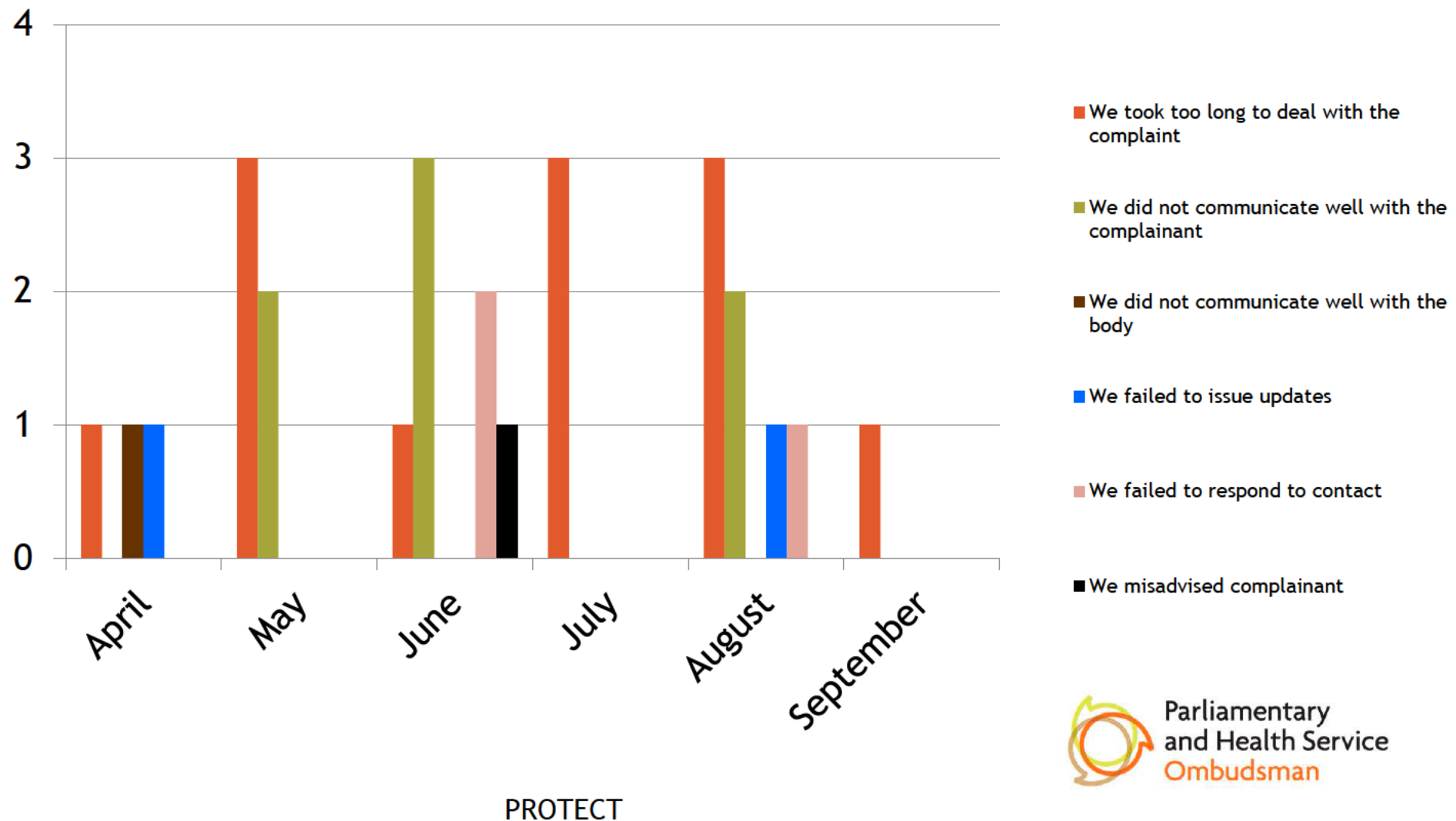


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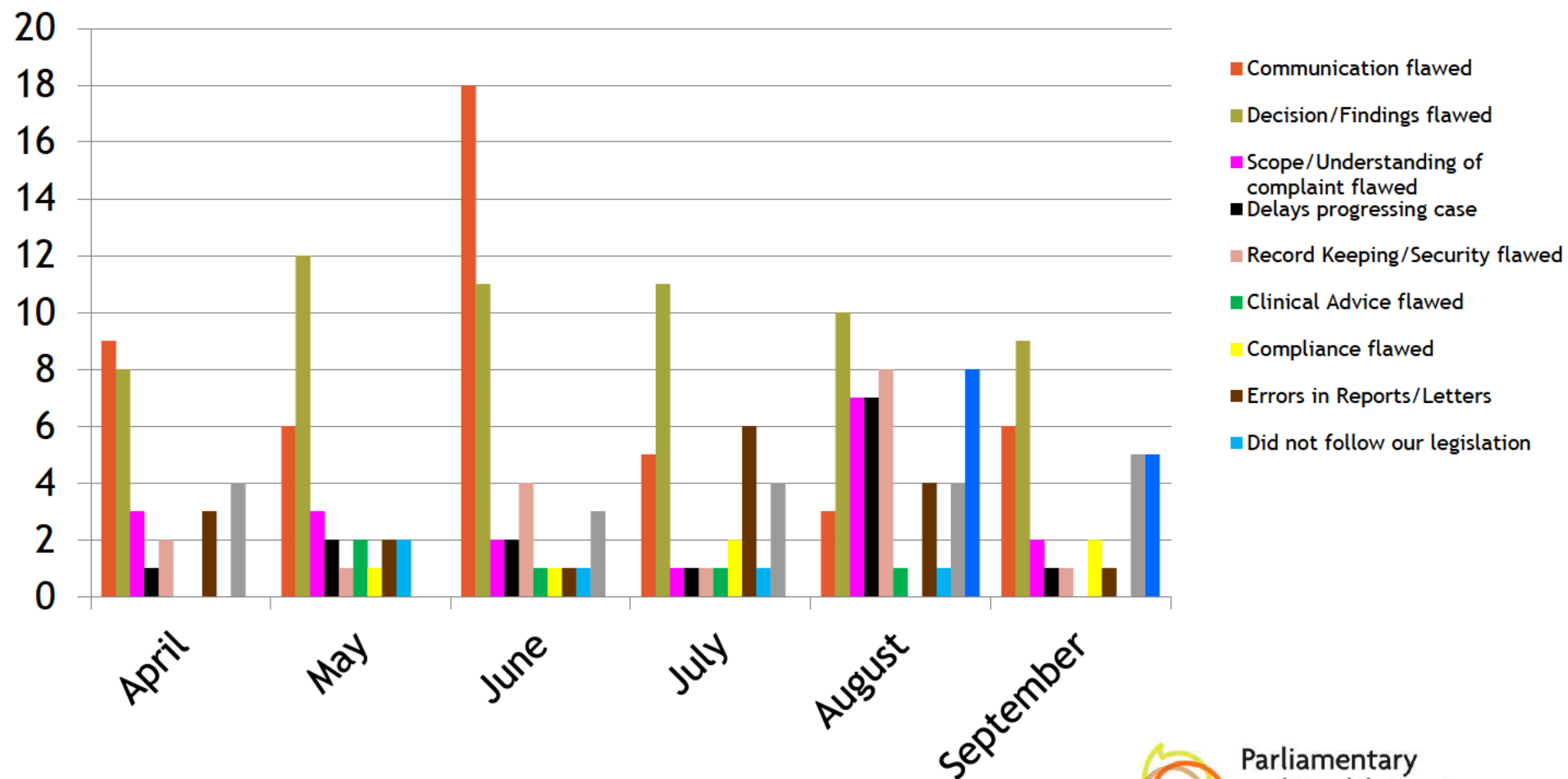
Reasons for Upholding/Partly Upholding Investigation Reviews



Reasons for Upholding/Partly Upholding Service Reviews



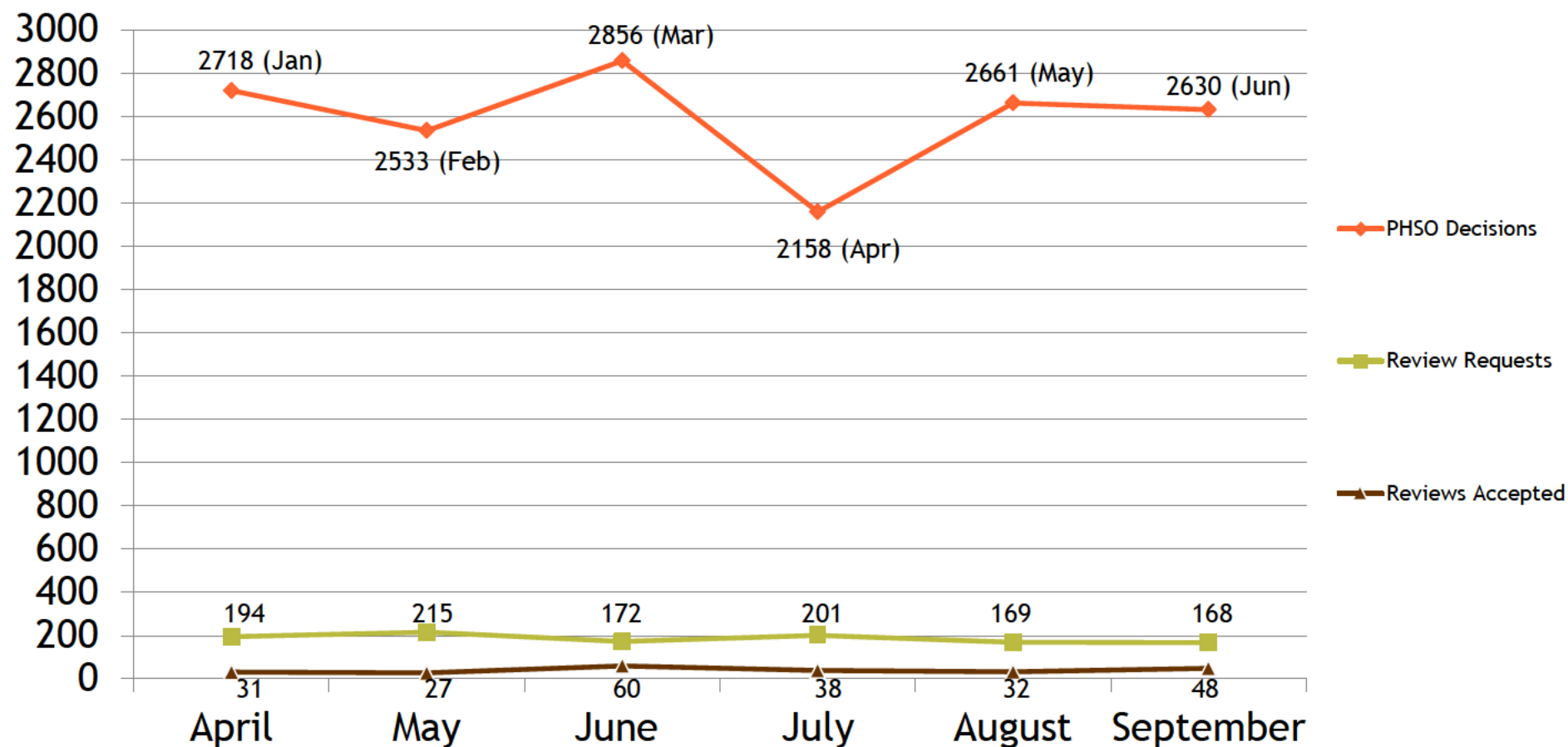
Type of Handling Lessons



*Time limit category introduced in August

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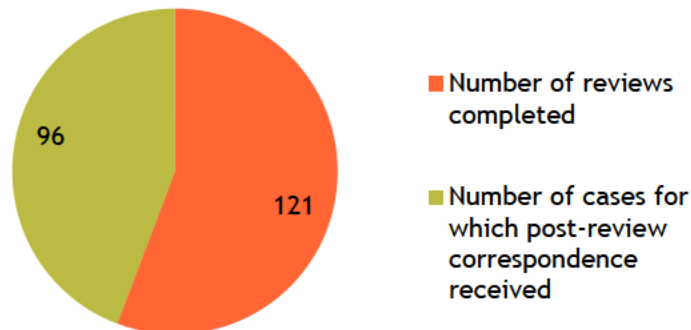
Review Requests



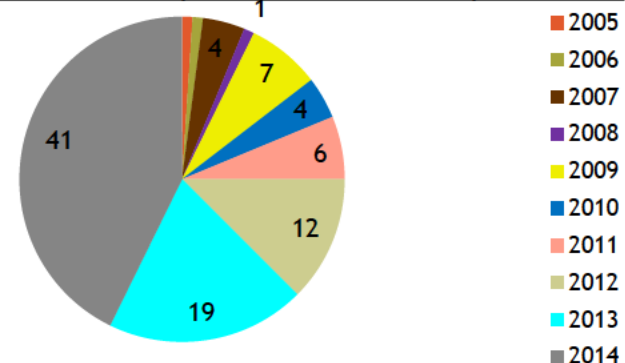
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Post-review correspondence

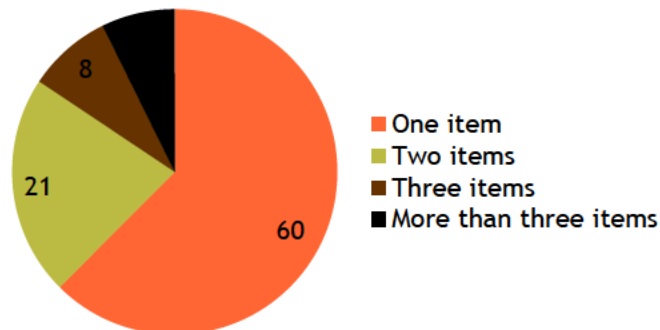
Amount received compared to reviews closed since 1 July 2014



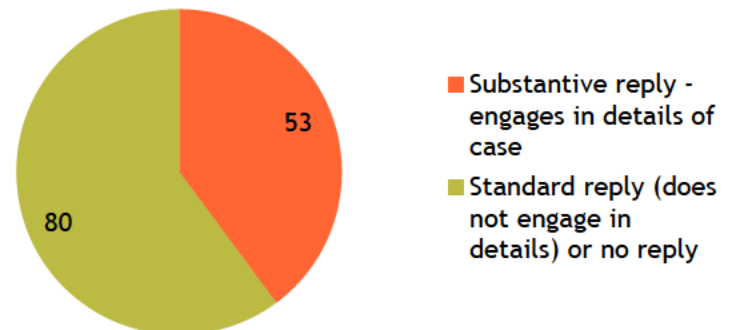
Closure dates for each case we've received correspondence on



Items of correspondence received per case *



Action taken



* These figures do not reflect that we will have received post-review correspondence on some of these cases prior to 1 July 2014