UK Visas
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Subject Access Request Unit

Caseworker Standard Operating Procedure – Management Allocation of Work and Recording of Stats

Standard Operating Procedure No.	2
Revision No.	1
Original Date of Issue:	27.11.15
Revision Date:	n/a
Produced By:	[redacted]
Approved By:	

Allocation Sheet

Case Prep

The Allocation sheet can be found in S:\SAB\Electronic SARs\eSAR Stats\Allocation Sheet.

Input data under relevant column headers. Please ensure that you select the appropriate case type and enter the relevant priority number if necessary.

In **Column K** (Ready to Dispatch?) you can determine whether a case is ready for dispatch or has been dispatched. This is automatically populated based on whether a caseworker has completed a case (in this instance it will display "Yes") or whether there is a date in **Column L** (Dispatched).

Electronic Allocations

From **Column B to H** the data will be populated automatically from the Case Prep tab.

Column D (Status) will indicate when a case is EO Ready – If the case is labelled as Case Prep it is not ready for allocation.

Column J (Extra Pages) can be used to note any extra pages from Doc Gen or additional files etc.

Column L (Allocated On) and **Column M** (Allocated To) should be filled in when a case is allocated i.e., when was it allocated and who it was allocated to.

Lastly **Column N** (Completed) needs to be filled in when a caseworker has completed a case. This is essential as the caseworker stats are generated based on the date inputted in this column.

If there are any Follow Ons these need to be noted in the relevant **Columns (R-U)** i.e., follow on type (Customer Complaint/Caseworker Error), date allocated and date completed. The completion time in **Column U** will be calculated automatically.

Paper Allocations

Columns B-D should be inputted with the relevant data.

Column E (Extra Pages) can be used to note any extra pages from Doc Gen or additional files etc.

Column G (Allocated On) and **Column H** (Allocated To) should be filled in when a case is allocated i.e., when was it allocated and who it was allocated to.

Lastly **Column I** (Completed) needs to be filled in when a caseworker has completed a case. This is essential as the caseworker stats are generated based on the date inputted in this column.

If there are any Follow Ons these need to be noted in the relevant **Columns (M-P)** i.e., follow on type (Customer Complaint/Caseworker Error), date allocated and date completed. The completion time in column U will be calculated automatically.

Stats Sheet

The Stats Sheet can be found in in [redacted]

Input the start date of the sheet into **Cell E51** in the bottom left hand corner. This will only need to be done in Week 1 of each month and will automatically populate the other required dates on the sheet.

The register will need to be completed daily to show whether a caseworker is present or not. You can select the relevant option from the dropdown list provided. The sheet has already been populated to show the caseworkers working pattern and FTE. If this field is not completed you will see a striped box in its place – all scenarios should be covered by the drop down list so there should never be a striped box once the sheet has been populated.

Any non-working time from 5 minutes and upwards will need to be reflected in the "Non Working" **Column (G,K,O,S or W)** in a minute and hour format. For example 1 hour 30 minutes will be written as 01:30.

Enter a note to explain how "Non-Working" time has been spent you need to right click and select "Insert Comment" in a cell in the relevant "Non Working" **Column (G,K,O,S or W).** A yellow pop up box will appear where you can then write your note.

For each Caseworker you will need to specify as to whether they deal with Paper or Electronic cases. You will do this by selecting the appropriate option from the dropdown list in **Column D**. This is essential as this is used in the calculation of stats.

You will be able to update the Stat sheet with register and non working time information, however if you want to see the actual stats you will need to ensure that you have the allocation sheet open at the same time.

You will not need to input the allocation onto the Stat sheet as this is automatically filled from the allocation sheet. The only information that will be required is for the register to be completed and any non-working time inputted.

If a new name needs to be added to the sheet, please email APC-SARU Change & Performance Team.

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Caseworker Standard Operating Procedure – Allocation of Work and Recording of Stats

Standard Operating Procedure No:	1
Revision No.	3
Original Date of Issue:	
Revision Date:	27.11.15
Revised By:	[redacted]
Approved By:	

Contents

Background

The aim of this Standard Operating Procedure is to outline the allocation and stats recording process for the SARU staff performing redaction, be this electronic or paper. This is to support them and enable them to effectively manage their own performance whilst informing the EO Support/Zone Manager of any time spent on non case working. This document aims achieve a fair and effective performance monitoring framework for all SARU caseworkers by ensuring activity is recorded accurately and consistently.

Purpose

Provide the caseworkers with instructions on how to check and manage their own performance by checking the allocation and stats spreadsheet on the shared drive on daily basis. Inform the support/zone manager of any time spent on non-caseworking activities and set a timeframe for providing this information.

Procedure on allocation of work

- Work will be allocated to all available caseworkers on the previous day, by the EO Support. All leave will be taken into account when allocating work. Changing work priorities may mean that on occasion caseworkers will not receive their full days allocation when they arrive in the office. If this happens, the allocation will be topped up by the EO Support. If you are concerned please speak to your EO Support.

- If a caseworker does not need cases allocated for the next day e.g they are going to work on complicated follow-on/are still working on allocated cases or have received further documents to complete a work in progress case, then they should let the EO Support/Zone Manager know ASAP, and no later than by midday so that no work will be allocated.
- Caseworkers will be allocated 16cms or 1,400 pages (1cm = 87.5 pages) per day (pro rota for staff working part time or adjusted to factor in reasonable adjustments as recommended by Occupational Health) measured by the EO Support or Zone Manager.
- Extra large cases which are over 16cms will be allocated as per rota depending on availability of caseworker. We will wherever possible, vary the allocation of extra large cases amongst the entire casework resource.
- The amount allocated will be recorded in the allocation spreadsheet on the shared drive and all have read only access to this spreadsheet. This can be found in the Electronic SARs folder: Sab\Electronic SARs\eSAR Stats\Allocation Sheet
- If the caseworkers complete the allocated work, they must ask the EO Support / Zone Manager for additional work to be allocated. For paper redaction, if EO Support/Zone Managers are not available to allocate, caseworkers should take a pre-measured SAR from the EO ready cabinet and record the cms and DPU number and email the EO Support/Zone Manager so that they can update the allocation spreadsheet at the next possible moment. In terms of workflow priorities, caseworkers should take the next available case (by due date) and then by priority number.
- All caseworkers should routinely check the allocation spreadsheet against what has been allocated.

Procedure on recording stats for redaction

- The amount of work recorded in the electronic allocation sheet will be automatically transferred to the EO stats spreadsheet in the shared drive which can be found at Sab\Electronic SARs\eSAR Stats\Caseworker Stats. This spreadsheet will be updated by the Zone

Manager/EO Support on a daily basis for attendance and non casework time spent. All have read only access to this electronic spreadsheet. Monthly stats sheet will be produced every month by the Change and Performance Team and emailed to all caseworkers and Zone Managers.

- Any time spent on non casework activity will be updated on the electronic spreadsheet. This can be annual leave, medical appointments, meetings with the line manager, attending focus/working group meetings, writing PDRs, attending external courses, doing mandatory training etc. Any time spent on SARU event/meetings will be updated by the Zone Manager. Daily, standard tasks, such as reading emails, opening CID, logging into POISE etc common to all staff don't count as non-casework time, as targets should already encompass these during their creation. Nonetheless, this is not an exhaustive list – exceptions may apply. If caseworkers are going to spend time on non case work activities, they should speak to or email their Zone Manager to notify them of this, so that the register can be updated to help inform the allocation of work.

- Flexi leave will not count as non-casework time because to accumulate flexi leave, caseworkers would have already worked additional hours and therefore produced additional work.

- Any discrepancies on cms/pages allocated or non casework time spent should be brought to the Zone Manager's attention as soon as possible. Each month at the 1-2-1 between the caseworker and their Manager, performance stats will be reviewed for the previous month and any concerns / discrepancies will be discussed.

- The stats recorded will be based on the completion date of the redaction by the caseworker, not the date of allocation. In the event that a case is cancelled, if the caseworker has almost fully redacted the case then they should be credited for the allocation given. However, if a phone call has been made to a legal representative, then this would be counted as non casework time.

- Stats must only be marked as completed upon final completion of the request. There must be no early shutting down of requests as this distorts performance.

- The stats summary table will show the distribution of fast track, extra large, specific, overdue requests and follow-on's amongst the caseworkers. See Annex A for an example summary table.

- Caseworkers will not be allocated non-casework time for follow-on's. We will however, start to monitor the number of follow-on's received by each caseworker and whether they fall into the category of caseworker error or customer complaint. If a caseworker is allocated a follow-on that was attributed to another caseworker, then the caseworker will be given an allocation/non casework time to account for this. Once we have gathered additional information over a few months, the categorisation may be reviewed.

Annex A – Example Monthly Summary Table

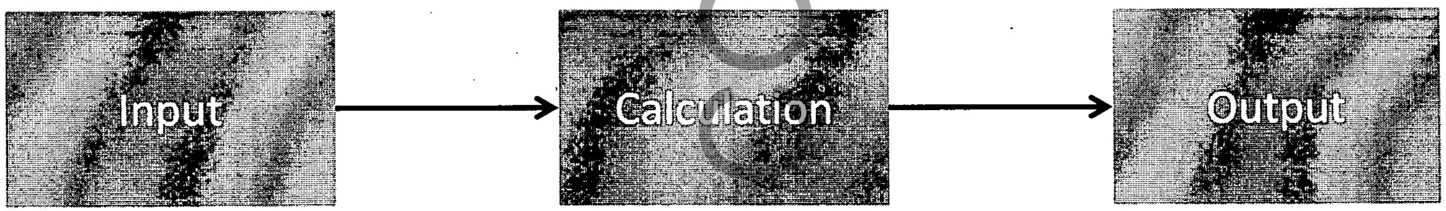
Monthly Summary - All Converted to Pages & Additional Info														Follow – On's		
RA	Staff	Cases Completed	Wilson Cases	Fast Track Cases	Overdue (Electronic)	Extra Large Cases	Average Size Case pgs	Average Completion Time	Actual Daily pgs	Target Daily pgs	Actual Monthly pgs	Target Monthly pgs	% of Target Met	Customer Complaint	Caseworker Error	Average Completion Time
10%	Member 1	40	4	6	20	12	907	1 Days	1350	1260	27000	25200	107%	1	6	4 Days
	Member 2	140	0	36	0	8	375	1 Days	1200	1400	24000	28000	86%	5	0	1 Days
	Member 3	48	8	4	0	28	1125	2 Days	900	1400	18000	28000	64%	2	1	2 Days
20%	Member 4	20	12	0	0	8	1208	2 Days	1250	1120	25000	22400	112%	5	4	1 Days
	Member 5	200	0	40	0	0	253	1 Days	1813	1750	29000	28000	104%	2	0	1 Days

The blue coloured highlights indicate the staff member who has completed the most of the corresponding case type.

Red	1 - 84.9%
Amber	85 - 94.9%
Green	> 95%

How the Caseworker Stats are calculated

As an overview, the stats require certain inputs to be fed into a calculator that then provides an intelligible output.



If the inputs are not fulfilled or accurate, you'll get an inaccurate output. Therefore, the agreed inputs are imperative.

Input Criteria

Hours Worked: These are the total contracted hours per week for a member of staff. Generally, the more hours you work, the higher the calculated target.

Non-Caseworking Time: This is comprised of the total hours that are deducted from the contracted hours. For instance, types of leave: Annual Leave, Sick Leave, and other tasks outside of caseworking: e.g., meetings, fire alarms, staff events, one-to-ones and other agreed tasks*. Generally, the higher the non-caseworking time, the lower the calculated target.

Reasonable Adjustment: A percentage based reduction in one's target for reasons outside of contracted hours and non-working time, e.g., OHS reasons or due to training.

* There is a non-exhaustive list in the caseworker stats S.O.P. This may need revision depending on the agreed credited non-caseworking tasks.

Calculating the Target

For the sake of ease of understanding, this is explained in hours rather than in FTEs. Below demonstrates how the three inputs work together to calculate a weekly target for a caseworker. The only constant here is that 1 Daily FTE Target = 1400 pages (194.44 pages per hour). The example below is for a person contracted to work 36 hours, who has had 9 hours of non-working time, with an RA of 10%.

Input

Contracted Hours (36hrs)

Non-Casework Time (9hrs)

Reasonable Adjustment (10%)

→

Calculation

(Contracted Hours – Non-Casework Time x Pages per Hour x 1-Reasonable Adjustment)

So:

36 – 9 = 27
27 * 194.44 = 5250
5250 * (1 – 0.1) = 4725

→

Output

This person's target is therefore 4725 pages for the week.

If for any reason the 1 FTE daily target increases or decreases due to wider objectives, it's very simple to adjust the formula in the calculation box.

Calculating FTE, Availability, Capacity Utilisation

As with the target calculation, the same three inputs are required to get an accurate output. In brief, one's capacity utilisation is the amount of actual time worked divided by the maximum time available for that member of staff. The following is calculated by converting into FTEs (given that 1 Weekly FTE is 36 hours, we divide by 36 to convert). The below is for a person contracted to work 36 hours, who has had one day annual leave, with an RA of 0%.

Input

Contracted Hours (36hrs)

Non-Casework Time (7.2hrs)

Reasonable Adjustment (0%)

→

Calculation

FTE = Contracted Hours / 36
Availability = FTE – (Non Casework Time / 36)
Capacity Utilisation = Availability / FTE

So:
36/36 = an FTE of 1
1 – (7.2 / 36) = an availability of 0.8
0.8 / 1 = a capacity utilisation of 80%

→

Output

This person's FTE is therefore 1, their availability for this week is 0.8, and their capacity utilisation is 80%

Where a weekly FTE is equivalent to 36 hours, this applies to all current staff; however, new staff who are contracted for 37 hours will be divided by 37 in place of 36.

This is why it is critical that non-casework time is accurately recorded, otherwise the result will be an inaccurate target and utilisation figure.