
Quarterly Appeal Tribunal Statistics

March 2002

DWP Department for
Work and Pensions

Information Centre, Analytical Services Directorate

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Introduction

The Appeals Service (tAS) replaced the Independent Tribunal Service (ITS) in April 1999, and encompasses both the judicial element of appeal tribunals and the administration of appeals. Under the decision making and appeals changes provided for in the Social Security Act 1998, with effect from 1st June 1999 responsibility for the administration of appeals passed from the President of the Independent Tribunals Service to the Secretary of State. The administrative side of the Appeals Service was launched as an agency within the Department of Social Security in April 2000. The judiciary remains the responsibility of the President of Appeal Tribunals.

Appeal tribunals under the Appeals Service hear appeals on decisions on Social Security, Child Support, Vaccine Damage, Tax Credit and Compensation Recovery questions throughout Great Britain; and on decisions under the Road Traffic Act in England and Wales. From 2nd July 2001, tAS took on the responsibility for hearing appeals on Housing Benefit and Council Tax Benefit.

This publication replaces those previously produced on the subjects of Social Security Appeal Tribunals and Medical Appeal Tribunals. Historical data back to 1993 is available from the DWP Information Centre on request (see the contact point on page one).

As of this release the methodology for calculating appeals has been changed in order to reflect more accurate definitions; as a result, figures in this publication will differ from those in previous releases. The time series in Table 1 is most affected, and in this release only comprises figures back to quarter ending September 2000; earlier figures using the new methodology will be included in the next publication.

The results contained in this publication are derived from a 100% download of cases contained on the Generic Appeals Processing System (GAPS) on the last working day of each month. These downloads are provided by the Appeals Service and sent to the DWP Information Centre (IC), Analytical Services Directorate, for processing and publication.

All analyses are on a GB basis and exclude Northern Ireland. Additional data are collected but not published and are available on request, for example by tribunal venue.

Main Findings

New lodgements (lodged by the appellant)

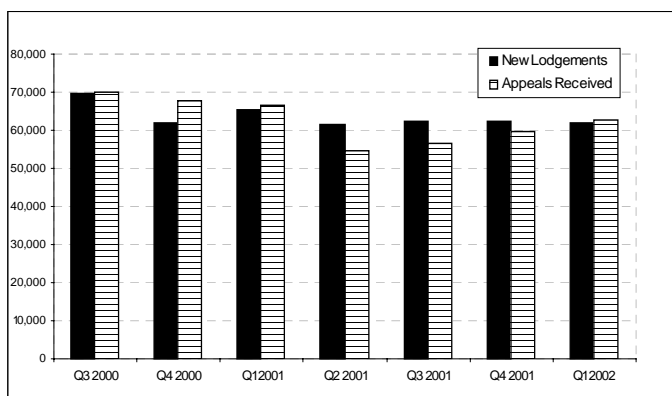
The number of new lodgements of appeals with first tier agencies in the quarter ending 31 March 2002 was 62 thousand compared with 65 thousand in the same quarter in 2001. This figure will rise as late information feeds through to the Appeals Service and onto the Generic Appeals Processing System (GAPS). In order to help overcome this, the data extract used is three months after the point of interest.

Disability Living Allowance (DLA) lodgements have fallen in number. Between quarters ending March 2001 and March 2002, they fell from 22,415 to 21,000 whereas Incapacity Benefit (PCA) appeals rose from 10,655 to 13,280, again largely due to clearances at IB PCA tests.

Appeals received by tAS

The number of appeals received by the Appeals Service in quarter ending 31 March 2002 was 62,530. This compared with 66,660 in the same quarter in 2001 and represents a reduction of 6.2%. These figures are based on the date the submission was received by tAS. The number of appeals received by tAS have been affected by the April 1999 procedural changes, as there is now a time delay between receipt of an appeal in the first tier agencies and in tAS.

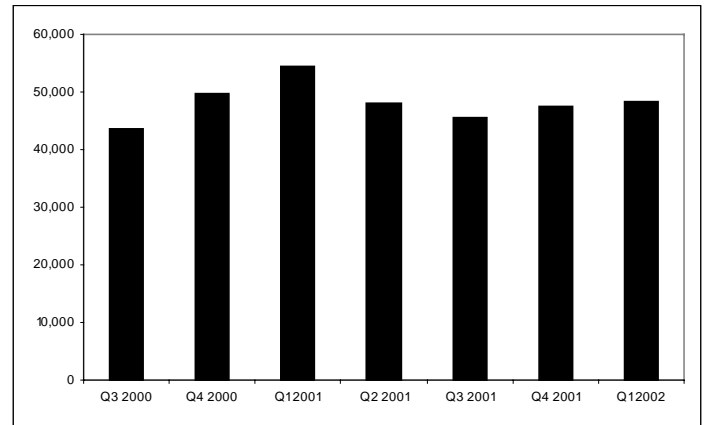
Figure 1: Lodgements and Appeals Received, September 2000 to March 2002.



Clearances

The number of appeals cleared at hearing in quarter ending 31 March 2002 was 48,265. This compared with 54,335 in the same quarter in 2001.

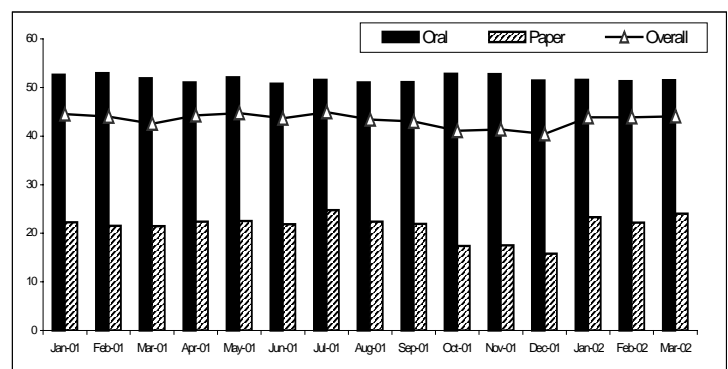
Figure 2: Appeals cleared at hearings, September 2000 to March 2002



Paper/Oral hearings

Of the 48,265 appeals cleared at hearing in the quarter ending 31 March 2002, 73.1% (35,265) were held at oral hearings, 26.7% (12,840) were paper hearings, the remaining 0.2% (160) were domiciliary hearings. The overall percentage of appeals found in favour of the appellant was 44.0%. The proportion of decisions in favour of the appellant was higher at oral hearings (51.5%) than at paper hearings (23.2%).

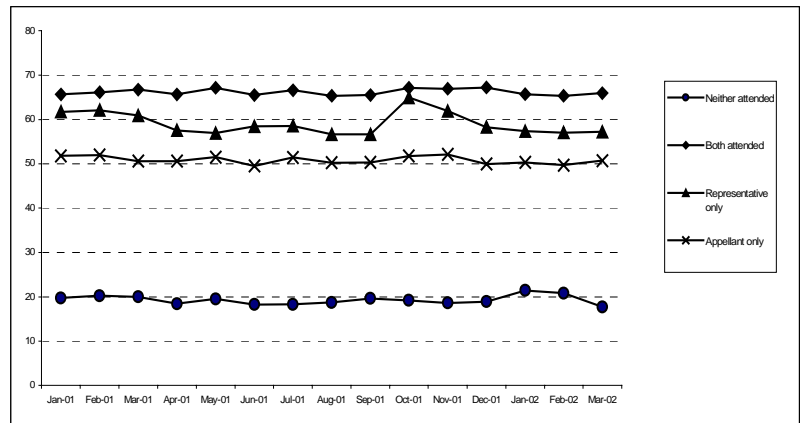
Figure 3: Percentage of appeals found in the appellant's favour at oral and paper hearings



Attendance at oral hearings

The 51.5% of appeals found in the appellant's favour at oral hearings can be further broken down by whether or not the tribunal was attended by the appellant or by their representative. Oral hearings attended by the 'appellant only' had 51.0% of decisions found in favour of the appellant. For hearings attended by a 'representative only', 57.9% of decisions were found in the appellant's favour. The percentage of appeals found in the appellant's favour where both the appellant and their representative attended was 66.1%. Where the appellant had requested an oral hearing but neither the appellant nor their representative attended, the proportion of decisions found in the appellant's favour was 20.5%.

Figure 4: Success rates by attendance at oral hearings



Glossary of terms and conventions

Glossary of terms

Appeal

An appeal provides a person with an impartial re-examination of the decision under appeal.

Appeal Postponed

An appeal can be postponed by any of the parties to the proceedings at any time during the life of an appeal. This would usually be necessary if for example, the appeals officer or appellant/representative required more time to compile their body of evidence.

Appeal Adjourned

This is similar to a postponement with the notable difference that an appeal will only be adjourned at a hearing.

Appeals Cleared at Hearing

The number of appeals cleared at hearings by the Appeals Service within the reporting period. This includes appeals that are withdrawn or struck out at the hearing.

Appeals Received

The number of appeals received by the Appeals Service within the reporting period. Appeals are lodged with first tier agencies prior to their receipt by the Appeals Service.

Appellant

The person who is making an appeal against a decision made on behalf of the Secretary of State.

Compensation Recovery Unit (CRU)

This is a unit that recovers benefits paid to an individual. These will usually be recovered from a compensation payment received due to an accident sustained whilst carrying out their employment duties. This accident will have rendered them unable to work and hence necessitated their claim for state benefits.

Date of Lodgement

This is the date when the appellant lodged the appeal with the first tier agency.

Decided Against Appellant

This is when an outcome of an appeal is less favourable to the appellant than the original decision.

Decided in Favour of Appellant

This is where the outcome of an appeal is more favourable to the appellant than the original decision.

Decision Upheld

This is an outcome of an appeal where the original decision of the Secretary of State is maintained.

First Tier Agencies

The Executive Agency from where the appeal originated.

Generic Appeals Processing System (GAPS)

The computer system used by the Appeals Service to process and store all information relating to current appeals. It was introduced in late 1997.

Lookalike Cases

These are cases that query the same point about a benefit. They are grouped so they can be cleared simultaneously when a decision is reached on the lead case.

New Lodgement

An appeal lodged by an appellant within the reporting period, usually the latest quarter.

Oral Hearings

A tribunal at which an appellant has expressed an intention to attend, or send a representative.

Paper Hearing

A tribunal at which an appellant has opted not to attend or send a representative.

Personal Capability Assessment (PCA)

This is the test which is applied to all those people who seek to claim Incapacity Benefit. It is designed to provide positive and constructive advice on a person's work related capability to help them plan a return to work. In April 2000, this test replaced the All Work Test (AWT) which assessed a person's medical incapacity for work and their subsequent entitlement to benefit.

Submission

The submission is the explanation of the law and facts used to reach a decision on a particular case.

Withdrawn

An appellant can withdraw an appeal at any time prior to the hearing by writing to the clerk within the Appeals Service expressing an intention not to pursue the case. No reason needs to be given.
Conventions

In order to maintain anonymity of claimants, all 100% figures have been rounded to the nearest 5. Totals may not add due to rounding.

.. Not available

. Not applicable

- Nil or Negligible

Q1 1st January to 31st March

Q2 1st April to 30th June

Q3 1st July to 30th September

Q4 1st October to 31st December

Table 1: Quarterly and Monthly Key Statistics⁽¹⁾

Quarter		New(2) Lodgements	Appeals(3) Received	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	Appeals Decided Against Appellant	Decisions Upheld	Other Appeals Cleared at Hearing	Appeals Adjourned	Appeals Postponed
2000	Q3	69,735	69,820	43,485	17,920	55	25,020	490	8,785	6,805
2000	Q4	61,895	67,570	49,655	21,180	65	27,835	570	9,990	7,590
2001	Q1	65,220	66,660	54,335	23,765	35	29,995	545	11,420	8,225
2001	Q2	61,715	54,655	47,950	21,250	35	26,130	535	9,425	7,275
2001	Q3	62,155	56,565	45,565	19,980	105	24,905	575	9,030	7,255
2001	Q4	62,290	59,760	47,510	19,520	70	27,425	490	8,205	6,670
2002	Q1	61,895	62,530	48,265	21,245	40	26,425	550	8,270	7,290
2002	Q2 ⁽⁴⁾	48,420	54,680	46,025	20,800	20	24,685	520	8,165	6,550
2002	Q3 ⁽⁵⁾	10,675	39,555	29,380	12,870	25	16,160	325	5,350	4,855
Month										
2001	Jan	20,595	23,280	17,870	7,960	10	9,720	175	3,870	2,725
	Feb	21,990	20,205	18,140	7,990	10	9,965	175	3,660	2,820
	Mar	22,635	23,180	18,330	7,815	10	10,310	195	3,890	2,685
	Apr	20,425	16,800	14,540	6,450	10	7,930	150	2,820	2,215
	May	20,190	19,365	16,795	7,530	10	9,065	190	3,075	2,475
	Jun	21,105	18,490	16,610	7,270	15	9,135	190	3,535	2,585
	Jul	21,770	20,585	15,090	6,795	10	8,090	195	2,890	2,405
	Aug	21,540	19,275	15,210	6,615	20	8,385	190	3,155	2,430
	Sep	18,845	16,705	15,265	6,575	75	8,425	190	2,985	2,420
	Oct	22,705	22,170	18,035	7,420	45	10,400	170	3,120	2,545
	Nov	22,895	22,165	17,495	7,250	15	10,035	195	3,095	2,405
	Dec	16,690	15,425	11,980	4,855	10	6,985	125	1,990	1,720
2002	Jan	19,640	21,595	16,180	7,115	15	8,875	175	2,660	2,585
	Feb	21,800	20,500	15,205	6,685	10	8,335	175	2,560	2,245
	Mar	20,455	20,435	16,885	7,450	20	9,215	200	3,050	2,460
	Apr ⁽⁴⁾	18,890	18,450	15,575	7,170	10	8,195	200	2,760	2,250
	May ⁽⁴⁾	17,775	19,970	16,340	7,390	5	8,780	165	2,755	2,250
	June ⁽⁴⁾	11,755	16,260	14,110	6,240	5	7,710	155	2,650	2,050
	July ⁽⁴⁾	9,085	21,585	15,200	6,630	10	8,400	150	2,645	2,665
	Aug ⁽⁴⁾	1,590	17,965	14,180	6,235	15	7,760	170	2,705	2,190

Notes: (1) All figures are subject to change. Figures for the latest quarter will rise significantly as information feeds through to the Appeals Service.

(2) New Lodgement figures are based on the date the appellant lodged the appeal.

(3) Appeals received are based on the date the submission was received by the Appeals Service.

(4) Provisional.

(5) Provisional figures covering July and August.

Table 2: Comparative lodgement figures by benefit⁽¹⁾

Benefit/Tax Credit	Quarter Ending	
	Quarter 1-01	Quarter 1-02 ⁽²⁾
Total	65,220	61,895
Attendance allowance	3,060	2,580
Child benefit/one parent benefit	355	325
Child support assessments	1,450	1,255
Child support departures appeal	465	285
Child support departures referral	35	50
Contracted out employment group	-	-
Compensation recovery unit	360	235
Council Tax Benefit	50	210
Credits – statutory maternity pay	-	-
Credits – statutory sick pay	-	-
Credits approved training	-	-
Credits jury service	-	-
Disability living allowance	22,415	21,000
Disability working allowance	5	-
Disabled persons tax credit	75	50
Family credit	5	5
Home Responsibility Protection	5	5
Housing / Council Tax Benefit	185	795
Housing Benefit	260	785
Incapacity benefit (personal capability assessment)	10,655	13,280
Incapacity benefit (not personal capability assessment)	2,055	2,180
Personal capability assessment (not incapacity benefit)	305	275
Income support	8,325	5,920
Industrial death benefit	5	-
Industrial injuries disablement benefit	5,995	4,675
Invalid	-	-
Invalid Care Allowance	375	325
Jobseekers allowance	5,435	4,905
Lookalikes	-	-
Maternity allowance	35	20
Others (extinct /rare benefits)	40	210
Retirement pension	580	455
Severe Disablement Allowance	630	190
Social fund – funeral payments	795	755
Social fund – maternity payments	130	160
Vaccine damage appeals tribunals	5	-
Widows benefit	225	220
Working families tax credit	895	705
Not known	5	50

Notes: (1) Lodgement figures for the latest quarter will rise significantly as information feeds through to the Appeals Service.

(2) New Lodgement figures are based on the date the appellant lodged the appeal.

Table 3: Hearing outcomes by benefit and tribunal type – quarter 1, 2002

Benefit/Tax Credit	Oral Hearings			Paper Hearings		
	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%
Total	35,265	18,155	51.5	12,840	2,985	23.2
Attendance allowance	1,390	755	54.3	935	300	32.1
Child benefit/one parent benefit	80	20	25.0	70	-	..
Child support assessments	500	230	46.0	115	40	34.8
Child support departures appeal	270	95	35.2	60	10	16.7
Child support departures referral	55	40	72.7	5	5	100.0
Coeg	-	-	..	-	-	..
Compensation recovery unit	420	330	78.6	200	120	60.0
Council Tax Benefit	85	25	29.4	15	-	..
Credits – statutory maternity pay	-	-	..	-	-	..
Credits – statutory sick pay	-	-	..	-	-	..
Credits approved training	-	-	..	-	-	..
Credits jury service	-	-	..	-	-	..
Disability living allowance	14,685	8,890	60.5	5,050	1,690	33.5
Disability working allowance	-	-	..	-	-	..
Disabled persons tax credit	15	5	33.3	5	-	..
Family credit	5	5	100.0	-	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	375	140	37.3	40	5	12.5
Housing Benefit	425	150	35.3	50	5	10.0
Incapacity benefit (personal capability assessment)	6,510	3,365	51.7	2,200	275	12.5
Incapacity benefit (not personal capability assessment)	785	340	43.3	300	35	11.7
Personal capability assessment (not incapacity benefit)	205	105	51.2	70	10	14.3
Income support	3,055	1,255	41.1	1,355	130	9.6
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	3,970	1,640	41.3	800	180	22.5
Invalid	-	-	..	-	-	..
Invalid Care Allowance	115	40	34.8	90	10	11.1
Jobseekers allowance	1,190	410	34.5	825	125	15.2
Lookalikes	5	-	..	-	-	..
Maternity allowance	10	-	..	5	-	..
Others (extinct /rare benefits)	90	10	11.1	55	5	9.1
Retirement pension	210	30	14.3	80	-	..
Severe Disablement Allowance	255	130	51.0	60	10	16.7
Social fund – funeral payments	240	65	27.1	185	10	5.4
Social fund – maternity payments	35	10	28.6	30	5	16.7
Vaccine damage appeals tribunals	5	-	..	-	-	..
Widows benefit	95	25	26.3	40	-	..
Working families tax credit	185	50	27.0	190	10	5.3
Not known	-	-	..	-	-	..

Table 4: Key statistics by regional office – quarter 1, 2002

Regional Centre	New ⁽¹⁾ Lodgements	Appeals ⁽³⁾ Received	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	Percentage Decided in Favour	Appeals Decided Against the Appellant	Decisions Upheld	Other Appeals Cleared at Hearing	Appeals Adjourned	Appeals Postponed
Total	61,895	62,530	48,265	21,245	44.0	40	26,425	550	8,270	7,290
Birmingham	7,060	6,800	4,380	1,835	41.9	5	2,510	30	700	455
Cardiff	8,410	8,435	7,070	3,070	43.4	5	3,945	50	1,290	1,185
Glasgow	9,315	8,890	6,965	3,420	49.1	5	3,385	155	1,665	1,135
Leeds	6,135	6,295	4,835	1,695	35.1	-	3,065	70	545	565
Liverpool	5,695	5,665	4,630	2,125	45.9	15	2,465	25	835	510
Newcastle	4,990	5,275	4,235	1,840	43.4	-	2,360	30	585	840
Nottingham	9,635	9,625	8,070	3,405	42.2	5	4,530	135	1,250	1,280
Salford	3,965	3,870	3,145	1,360	43.2	-	1,750	35	595	535
Sutton	6,690	7,665	4,935	2,490	50.5	-	2,415	25	805	785

Notes: (1) New Lodgement figures are based on the date the appellant lodged the appeal.

(2) Lodgement figures for the latest quarter will rise significantly as information feeds through to the Appeals Service.

(3) Appeals received are based on the date the submission was received by the Appeals Service.

Table 5: Hearing outcomes by type of attendance and benefit – quarter 1, 2002

Benefit/Tax Code	All attendances			Appellant only attended		
	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%
Total	29,615	17,550	59.3	12,435	6,345	51.0
Attendance allowance	1,235	750	60.7	295	145	49.2
Child benefit/one parent benefit	50	20	40.0	30	5	16.7
Child support assessments	345	180	52.2	275	145	52.7
Child support departures appeal	200	90	45.0	155	70	45.2
Child support departures referral	45	35	77.8	30	20	66.7
Compensation recovery unit	345	280	81.2	110	90	81.8
Council Tax Benefit	55	25	45.5	40	10	25.0
Credits approved training	-	-	..	-	-	..
Disability living allowance	13,190	8,690	65.9	4,425	2,590	58.5
Disabled persons tax credit	10	5	50.0	10	-	..
Family credit	5	5	100.0	-	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	240	130	54.2	120	65	54.2
Housing Benefit	300	135	45.0	160	55	34.4
Incapacity benefit (personal capability assessment)	5,380	3,260	60.6	2,715	1,490	54.9
Incapacity benefit (not personal capability assessment)	605	320	52.9	320	140	43.8
Personal capability assessment (not incapacity benefit)	160	100	62.5	70	40	57.1
Income support	2,190	1,150	52.5	1,020	455	44.6
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	3,605	1,660	46.0	1,580	610	38.6
Invalid Care Allowance	95	45	47.4	50	20	40.0
Jobseekers allowance	735	360	49.0	530	225	42.5
Lookalikes	5	-	..	-	-	..
Maternity allowance	5	-	..	5	-	..
Retirement pension	125	25	20.0	85	10	11.8
Severe Disablement Allowance	205	125	61.0	115	70	60.9
Social fund – funeral payments	180	65	36.1	110	30	27.3
Social fund – maternity payments	20	5	25.0	15	5	33.3
Vaccine damage appeals tribunals	5	-	..	5	-	..
Widows benefit	70	25	35.7	35	10	28.6
Working families tax credit	125	50	40.0	90	35	38.9
Others (extinct /rare benefits)	70	10	14.3	30	5	16.7

Table 5 (cont.): Hearing outcomes by type of attendance and benefit – quarter 1, 2002

Benefit/Tax Code	Representative only attended			Both attended		
	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%
Total	1,735	1,005	57.9	15,445	10,205	66.1
Attendance allowance	195	130	66.7	740	475	64.2
Child benefit/one parent benefit	10	5	50.0	15	10	66.7
Child support assessments	10	5	50.0	60	30	50.0
Child support departures appeal	5	5	100.0	40	20	50.0
Child support departures referral	-	-	..	15	10	66.7
Compensation recovery unit	205	165	80.5	35	25	71.4
Council Tax Benefit	5	5	100.0	15	10	66.7
Credits approved training	-	-	..	-	-	..
Disability living allowance	690	455	65.9	8,075	5,645	69.9
Disabled persons tax credit	-	-	..	-	-	..
Family credit	-	-	..	5	5	100.0
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	20	5	25.0	100	60	60.0
Housing Benefit	30	10	33.3	110	70	63.6
Incapacity benefit (all work test)	120	40	33.3	2,545	1,730	68.0
Incapacity benefit (not all work test)	30	20	66.7	255	160	62.7
All work test (not incapacity benefit)	5	-	..	90	60	66.7
Income support	230	120	52.2	940	580	61.7
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	85	10	11.8	1,945	1,040	53.5
Invalid Care Allowance	10	-	..	40	25	62.5
Jobseekers allowance	20	5	25.0	185	130	70.3
Lookalikes	-	-	..	-	-	..
Maternity allowance	-	-	..	-	-	..
Retirement pension	15	5	33.3	30	5	16.7
Severe Disablement Allowance	-	-	..	85	55	64.7
Social fund – funeral payments	20	5	25.0	50	25	50.0
Social fund – maternity payments	-	-	..	5	-	..
Vaccine damage appeals tribunals	-	-	..	-	-	..
Widows benefit	5	-	..	30	10	33.3
Working families tax credit	10	5	50.0	25	10	40.0
Others (extinct /rare benefits)	20	-	..	15	5	33.3

Table 5 (cont.): Hearing outcomes by type of attendance and benefit - quarter 1, 2002

Benefit/Tax Code	Not attended			Attendance details not known		
	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%
Total	6,425	1,315	20.5	12,220	2,380	19.5
Attendance allowance	225	75	33.3	895	255	28.5
Child benefit/one parent benefit	30	-	..	70	-	..
Child support assesments	160	55	34.4	105	30	28.6
Child support departures appeal	75	10	13.3	50	5	10.0
Child support departures referral	10	5	50.0	-	-	..
Compensation recovery unit	75	50	66.7	200	115	57.5
Council Tax Benefit	30	-	..	15	-	..
Credits approved training	-	-	..	-	-	..
Disability living allowance	1,950	615	31.5	4,685	1,330	28.4
Disabled persons tax credit	-	-	..	5	-	..
Family credit	-	-	..	-	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	140	15	10.7	40	-	..
Housing Benefit	130	15	11.5	45	5	11.1
Incapacity benefit (all work test)	1,155	160	13.9	2,185	230	10.5
Incapacity benefit (not all work test)	195	30	15.4	285	30	10.5
All work test (not incapacity benefit)	45	5	11.1	70	10	14.3
Income support	885	120	13.6	1,335	110	8.2
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	485	65	13.4	695	100	14.4
Invalid Care Allowance	35	5	14.3	70	5	7.1
Jobseekers allowance	460	55	12.0	820	115	14.0
Lookalikes	-	-	..	-	-	..
Maternity allowance	5	-	..	5	-	..
Retirement pension	85	5	5.9	80	-	..
Severe Disablement Allowance	55	5	9.1	60	10	16.7
Social fund – funeral payments	60	5	8.3	185	10	5.4
Social fund – maternity payments	10	-	..	30	5	16.7
Vaccine damage appeals tribunals	-	-	..	-	-	..
Widows benefit	30	5	16.7	40	-	..
Working families tax credit	60	5	8.3	190	10	5.3
Others (extinct /rare benefits)	20	-	..	55	5	9.1