
Quarterly Appeal Tribunal Statistics

September 2002

DWP Department for
Work and Pensions

Information Centre, Information and Analysis Directorate

Contents

Introduction	2
Main Findings.....	3
Glossary of terms and conventions	5
Table 1: Quarterly and monthly key statistics.....	8
Table 2: Comparative lodgement figures by benefit	9
Table 3: Hearing outcomes by benefit and tribunal type	10
Table 4: Key statistics by regional office	11
Table 5: Hearing outcomes by type of attendance and benefit	12

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Introduction

The Appeals Service (AS) 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 1 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 2 July 2001, AS 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. Further information is available from the DWP Information Centre on request (see the contact point on page 1).

Following the change of methodology as outlined in the March publication, revised figures are included in this bulletin. The time series in Table 1 is most affected by this change, and in this release comprises figures back to quarter ending July 2001.

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), Information and Analysis 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.

Important Information

This is the last time the Quarterly Appeal Tribunal Statistics will be published in 'hard copy' or as a pdf file. Instead, the Department will be focusing on publishing client group based statistics (Working Age; Children & Families; and Pensioners.)

In future Quarterly Appeal Tribunal Statistics will be published on the DWP internet site (www.dwp.gov.uk/asd) in Microsoft Excel format.

If you have difficulty printing the spreadsheets please contact us on 0191 22 49233.

Main Findings

New lodgements (lodged by the appellant)

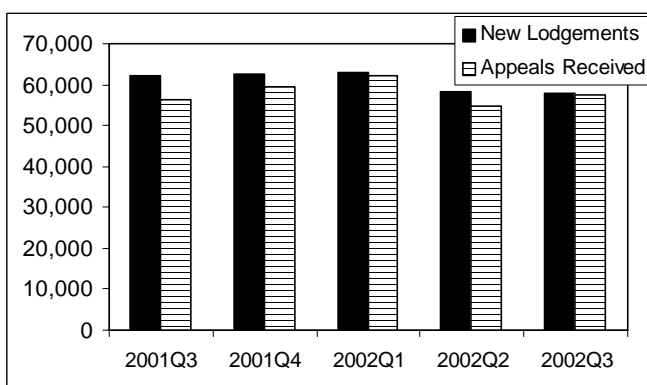
The number of new lodgements of appeals with first tier agencies in the quarter ending 30 September 2002 was 58 thousand compared with 62 thousand in the same quarter in 2001. This figure will rise as late information feeds through to the Appeals Service and onto the Generic Appeals Processing System (GAPS). In order to help overcome this, the data extract used is at least three months after the point of interest.

Disability Living Allowance (DLA) lodgements have fallen in number. Between quarters ending September 2001 and September 2002, they fell from 20,560 to 20,170 whereas Incapacity Benefit Personal Capability Assessment appeals rose from 11,120 to 12,240, largely due to clearances at IB PCA tests.

Appeals received by AS

The number of appeals received by the Appeals Service in quarter ending 30 September 2002 was 57,310. This compared with 56,305 in the same quarter in 2001 and represents an increase of 1.8%. These figures are based on the date the submission was received by AS. The number of appeals received by AS 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 AS.

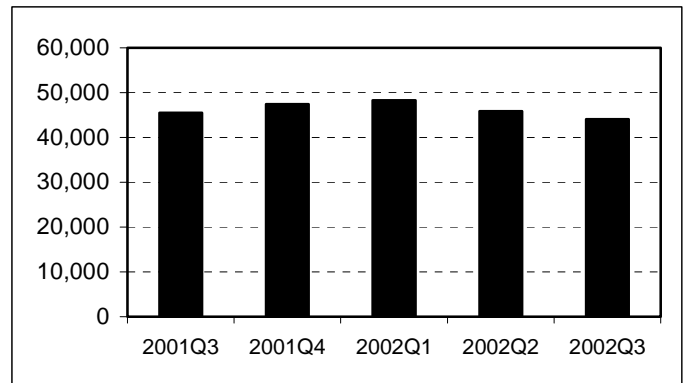
Figure 1: Lodgements and Appeals Received,



Clearances

The number of appeals cleared at hearing in quarter ending 30 September 2002 was 44,095. This compared with 45,525 in the same quarter in 2001.

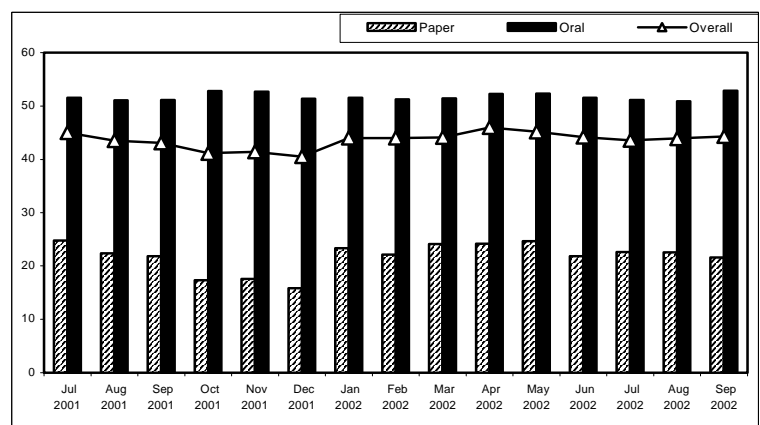
Figure 2: Appeals cleared at hearings, Quarter 3 2001 to Quarter 3 2002



Paper/Oral hearings

Of the 44,095 appeals cleared at hearing in the quarter ending 30 September 2002, 73.2% (32,285) were held at oral hearings, 26.4% (11,660) were paper hearings and the remaining 0.3% (145) were domiciliary hearings. The overall percentage of appeals found in favour of the appellant was 43.9%. The proportion of decisions in favour of the appellant was higher at oral hearings (51.6%) than at paper hearings (22.2%).

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

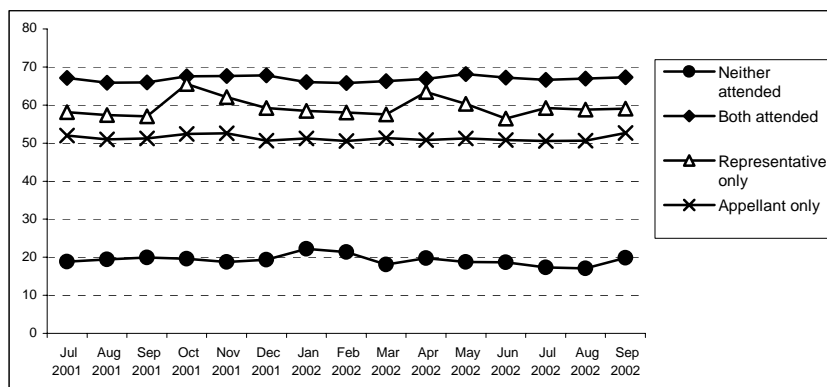


Attendance at oral hearings

The 51.6% 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 hearing attended by:	% found in appellant's favour
Appellant only	51.3%
Representative only	59.0%
Both appellant and representative	67.0%
Neither	18.1%

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 submissions 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	1 January to 31 March
Q2	1 April to 30 June
Q3	1 July to 30 September
Q4	1 October to 31 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	
2001	Q3	62,270	56,305	45,525	19,975	105	24,870	575	9,020	7,360
2001	Q4	62,630	59,520	47,430	19,490	70	27,375	490	8,195	6,730
2002	Q1	63,030	62,320	48,280	21,260	40	26,430	550	8,275	7,370
2002	Q2	58,250	54,555	45,880	20,715	20	24,630	515	8,170	6,595
2002	Q3	57,730	57,310	44,095	19,365	40	24,160	530	8,065	7,220
Month										
2002	Jul	21,785	20,485	15,085	6,790	10	8,085	200	2,890	2,450
	Aug	21,580	19,195	15,190	6,610	20	8,370	190	3,150	2,470
	Sep	18,905	16,625	15,250	6,575	75	8,415	190	2,975	2,445
	Oct	22,790	22,080	18,005	7,410	45	10,380	170	3,110	2,575
	Nov	23,020	22,070	17,480	7,240	15	10,025	195	3,100	2,425
	Dec	16,820	15,370	11,950	4,840	10	6,970	125	1,990	1,735
	Jan	19,860	21,510	16,180	7,115	15	8,870	175	2,660	2,615
	Feb	22,165	20,435	15,205	6,690	10	8,335	175	2,560	2,280
	Mar	21,005	20,375	16,895	7,455	20	9,220	200	3,050	2,475
	Apr	20,110	18,405	15,525	7,140	10	8,180	200	2,765	2,270
	May	21,520	19,925	16,280	7,355	5	8,755	165	2,755	2,265
	Jun	16,620	16,225	14,075	6,220	5	7,695	150	2,650	2,060
Jul	20,915	21,565	15,155	6,600	10	8,390	150	2,645	2,675	
Aug	18,880	17,960	14,270	6,265	15	7,815	175	2,710	2,200	
Sep	17,935	17,790	14,670	6,500	15	7,955	205	2,710	2,345	

Notes: (1) All figures are subject to change. Figures for the latest quarter may change 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 appeal submission was received by the Appeals Service

Table 2: Comparative lodgement figures by benefit⁽¹⁾

Benefit/Tax Credit	Quarter Ending	
	Quarter 3-01	Quarter 3-02 ⁽²⁾
Total	62,270	57,730
Attendance allowance	2,920	2,570
Child benefit/one parent benefit	330	300
Child support assessments	1,220	955
Child support departures appeal	395	295
Child support departures referral	40	55
Contracted out employment group	-	-
Compensation recovery unit	240	305
Council Tax Benefit	240	180
Credits – statutory maternity pay	-	-
Credits – statutory sick pay	-	-
Credits approved training	-	-
Credits jury service	-	-
Disability living allowance	20,560	20,170
Disability working allowance	-	-
Disabled persons tax credit	50	50
Family credit	-	10
Home Responsibility Protection	5	5
Housing / Council Tax Benefit	960	675
Housing Benefit	1,045	670
Incapacity benefit (personal capability assessment)	11,120	12,240
Incapacity benefit (not personal capability assessment)	1,870	1,945
Personal capability assessment (not incapacity benefit)	365	230
Income support	7,040	5,035
Industrial death benefit	5	-
Industrial injuries disablement benefit	5,895	4,500
Invalid	-	-
Invalid Care Allowance	340	355
Jobseekers allowance	4,660	4,380
Lookalikes	-	10
Maternity allowance	35	30
Others (extinct /rare benefits)	240	290
Retirement pension	465	345
Severe Disablement Allowance	430	135
Social fund – funeral payments	720	660
Social fund – maternity payments	170	165
Vaccine damage appeals tribunals	5	5
Widows benefit	205	315
Working families tax credit	685	800
Not known	15	50

Notes: (1) Lodgement figures for the latest quarter may change 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 3, 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	32,285	16,665	51.6	11,660	2,590	22.2
Attendance allowance	1,245	685	55.0	790	240	30.4
Child benefit/one parent benefit	75	20	26.7	65	5	7.7
Child support assessments	480	190	39.6	150	25	16.7
Child support departures appeal	165	60	36.4	45	10	22.2
Child support departures referral	40	20	50.0	5	5	100.0
Coeg	-	-	..	-	-	..
Compensation recovery unit	210	175	83.3	100	65	65.0
Council Tax Benefit	115	25	21.7	25	5	20.0
Credits – statutory maternity pay	-	-	..	-	-	..
Credits – statutory sick pay	-	-	..	-	-	..
Credits approved training	-	-	..	-	-	..
Credits jury service	-	-	..	-	-	..
Disability living allowance	12,985	7,765	59.8	4,425	1,430	32.3
Disability working allowance	-	-	..	-	-	..
Disabled persons tax credit	20	5	25.0	10	-	..
Family credit	5	-	..	-	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	460	180	39.1	100	15	15.0
Housing Benefit	480	150	31.3	60	10	16.7
Incapacity benefit (personal capability assessment)	820	355	43.3	300	35	11.7
Incapacity benefit (not personal capability assessment)	7,235	3,945	54.5	2,285	295	12.9
Personal capability assessment (not incapacity benefit)	130	65	50.0	50	-	..
Income support	2,130	895	42.0	895	135	15.1
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	3,565	1,450	40.7	650	135	20.8
Invalid	-	-	..	-	-	..
Invalid Care Allowance	100	25	25.0	95	5	5.3
Jobseekers allowance	1,015	365	36.0	865	130	15.0
Lookalikes	-	-	..	-	-	..
Maternity allowance	10	-	..	5	-	..
Others (extinct /rare benefits)	75	25	33.3	120	5	4.2
Retirement pension	240	40	16.7	80	5	6.3
Severe Disablement Allowance	160	90	56.3	35	10	28.6
Social fund – funeral payments	225	60	26.7	205	15	7.3
Social fund – maternity payments	25	5	20.0	50	-	..
Vaccine damage appeals tribunals	5	-	..	-	-	..
Widows benefit	110	20	18.2	60	-	..
Working families tax credit	165	45	27.3	195	15	7.7
Not known	-	-	..	-	-	..

Table 4: Key statistics by regional office – quarter 3, 2002

Regional Centre	New ⁽¹⁾ Lodgements	Appeals ⁽³⁾ Received	Appeals Cleared at Hearing	Appeals Decided in Favour of Appellant	%	Appeals Decided Against the Appellant	Decisions Upheld	Other Appeals Cleared at Hearing	Appeals Adjourned	Appeals Postponed
Total	57,730	57,310	44,095	19,365	43.8	40	24,160	530	8,065	7,220
Birmingham	6,400	5,830	4,940	1,925	39.0	15	2,975	25	785	550
Cardiff	7,975	7,685	6,015	2,765	46.0	5	3,200	45	1,095	1,055
Glasgow	8,920	9,025	6,480	3,215	49.6	-	3,115	145	1,540	1,415
Leeds	5,880	5,885	5,355	2,075	38.7	10	3,200	75	655	735
Liverpool	5,595	5,475	4,000	1,840	46.0	5	2,130	25	725	485
Newcastle	5,065	4,830	3,895	1,660	42.6	-	2,205	30	645	725
Nottingham	9,285	8,945	6,745	2,710	40.2	5	3,900	130	1,415	1,145
Salford	3,815	3,695	2,680	1,050	39.1	-	1,590	40	540	420
Sutton	4,800	5,930	3,975	2,125	53.4	-	1,840	15	660	700

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

(2) Lodgement figures for the latest quarter may change as information feeds through the Appeals Service.

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

Table 5: Hearing outcomes by type of attendance and benefit – quarter 3, 2002

	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	44,095	19,365	43.9	11,960	6,135	51.3
Attendance allowance	2,055	945	46.0	265	120	45.3
Child benefit/one parent benefit	135	30	22.2	30	5	16.7
Child support assessments	630	215	34.1	280	125	44.6
Child support departures appeal	210	65	31.0	115	50	43.5
Child support departures referral	45	25	55.6	20	15	75.0
Compensation recovery unit	310	240	77.4	60	50	83.3
Council Tax Benefit	140	30	21.4	45	15	33.3
Credits approved training	-	-	..	-	-	..
Disability living allowance	17,505	9,260	52.9	4,045	2,315	57.2
Disabled persons tax credit	30	5	16.7	5	5	100.0
Family credit	5	-	..	5	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	555	195	35.1	185	90	48.6
Housing Benefit	540	160	29.6	175	80	45.7
Incapacity benefit (all work test)	9,530	4,245	44.5	2,995	1,695	56.6
Incapacity benefit (not all work test)	1,125	390	34.7	300	140	46.7
All work test (not incapacity benefit)	180	65	36.1	55	30	54.5
Income support	3,030	1,035	34.2	765	335	43.8
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	4,220	1,595	37.8	1,635	690	42.2
Invalid Care Allowance	195	30	15.4	55	10	18.2
Jobseekers allowance	1,880	495	26.3	465	210	45.2
Lookalikes	-	-	..	-	-	..
Maternity allowance	15	-	..	-	-	..
Retirement pension	320	45	14.1	80	20	25.0
Severe Disablement Allowance	205	100	48.8	80	50	62.5
Social fund – funeral payments	430	75	17.4	105	35	33.3
Social fund – maternity payments	75	5	6.7	15	5	33.3
Vaccine damage appeals tribunals	5	-	..	-	-	..
Widows benefit	170	20	11.8	45	5	11.1
Working families tax credit	360	60	16.7	90	30	33.3
Others (extinct /rare benefits)	195	30	15.4	40	10	25.0
Not known	-	-	..	-	-	..

Table 5 (cont.): Hearing outcomes by type of attendance and benefit – quarter 3, 2002

	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	1,560	920	59.0	13,860	9,280	67.0
Attendance allowance	175	125	71.4	685	440	64.2
Child benefit/one parent benefit	5	5	100.0	15	10	66.7
Child support assessments	10	5	50.0	55	30	54.5
Child support departures appeal	5	-	..	20	5	25.0
Child support departures referral	-	-	..	5	5	100.0
Compensation recovery unit	110	100	90.9	15	15	100.0
Council Tax Benefit	10	-	..	10	5	50.0
Credits approved training	-	-	..	-	-	..
Disability living allowance	680	440	64.7	7,045	4,930	70.0
Disabled persons tax credit	-	-	..	5	-	..
Family credit	-	-	..	-	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	15	5	33.3	110	65	59.1
Housing Benefit	25	10	40.0	110	50	45.5
Incapacity benefit (all work test)	160	80	50.0	2,950	2,070	70.2
Incapacity benefit (not all work test)	40	5	12.5	290	195	67.2
All work test (not incapacity benefit)	5	5	100.0	35	30	85.7
Income support	150	70	46.7	670	435	64.9
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	75	30	40.0	1475	780	52.9
Invalid Care Allowance	10	5	50.0	25	15	60.0
Jobseekers allowance	30	15	50.0	150	105	70.0
Lookalikes	-	-	..	-	-	..
Maternity allowance	-	-	..	-	-	..
Retirement pension	15	5	33.3	20	-	..
Severe Disablement Allowance	5	5	100.0	55	35	63.6
Social fund – funeral payments	15	5	33.3	45	25	55.6
Social fund – maternity payments	-	-	..	-	-	..
Vaccine damage appeals tribunals	-	-	..	-	-	..
Widows benefit	5	-	..	25	10	40.0
Working families tax credit	10	-	..	25	10	40.0
Others (extinct /rare benefits)	5	5	100.0	15	10	66.7
Not known	-	-	..	-	-	..

Table 5 (cont.): Hearing outcomes by type of attendance and benefit - quarter 3, 2002

	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	5,670	1,025	18.1	11,040	2,000	18.1
Attendance allowance	190	65	34.2	740	190	25.7
Child benefit/one parent benefit	30	5	16.7	65	5	7.7
Child support assessments	145	35	24.1	145	20	13.8
Child support departures appeal	35	5	14.3	35	5	14.3
Child support departures referral	15	5	33.3	-	-	..
Compensation recovery unit	30	20	66.7	95	60	63.2
Council Tax Benefit	50	5	10.0	25	5	20.0
Credits approved training	-	-	..	-	-	..
Disability living allowance	1,645	485	29.5	4,085	1,090	26.7
Disabled persons tax credit	5	-	..	10	-	..
Family credit	-	-	..	-	-	..
Home Responsibility Protection	-	-	..	-	-	..
Housing / Council Tax Benefit	155	25	16.1	90	10	11.1
Housing Benefit	170	10	5.9	60	10	16.7
Incapacity benefit (all work test)	1,180	150	12.7	2,240	245	10.9
Incapacity benefit (not all work test)	205	30	14.6	295	25	8.5
All work test (not incapacity benefit)	35	-	..	50	-	..
Income support	555	70	12.6	890	120	13.5
Industrial death benefit	-	-	..	-	-	..
Industrial injuries disablement benefit	490	35	7.1	550	55	10.0
Invalid Care Allowance	30	-	..	80	-	..
Jobseekers allowance	385	50	13.0	845	115	13.6
Lookalikes	-	-	..	-	-	..
Maternity allowance	5	-	..	5	-	..
Retirement pension	120	10	8.3	75	5	6.7
Severe Disablement Allowance	30	5	16.7	30	5	16.7
Social fund – funeral payments	60	5	8.3	205	10	4.9
Social fund – maternity payments	5	-	..	50	-	..
Vaccine damage appeals tribunals	-	-	..	-	-	..
Widows benefit	35	5	14.3	60	-	..
Working families tax credit	45	5	11.1	195	15	7.7
Others (extinct /rare benefits)	15	-	0.0	120	5	4.2
Not known	-	-	..	-	-	..