

<b>Meeting</b>	OLC Board	<b>Agenda Item No.</b>	8 117.6
<b>Date of meeting</b>	14 December 2021	<b>Time required</b>	15 minutes

<b>Title</b>	Reduction of the Pre- Assessment Pool
<b>Sponsor</b>	Sandra Strinati, COO, Operations Managers, Deborah McIntyre, David Peckham and Treena Moseley
<b>Status</b>	OFFICIAL SENSITIVE

<b>Executive summary</b>
<p>Operations update on the following:</p> <ul style="list-style-type: none"> <li>• Initiatives impacting PAP, currently in progress, in planning or due to start.</li> <li>• Initiatives impacting BAU process to deliver process efficiencies, in progress, in planning or due to start</li> <li>• Initiative impacting people to improve efficiencies, in progress, in planning or due to start</li> </ul>
<b>Recommendation/action required</b>
No action required for information only

# Reduction of the Pre-Assessment Pool

## 1. Introduction

- 1.1 Operations committed to updating the Board on initiatives to deliver backlog recovery to include people, process and efficiency measures.
- 1.2 Where activities can be quantified, they have been.

## 2. PAP Initiatives – In progress

- 2.1 Reasonable offer made – After working through potential opportunities in the PAP there was an expectation of circa 30 closures per month. November delivered 25. This is now a BAU process. Our assumption was 30 monthly closures, November achieved 25. An additional resource of 0.8 has been allocated across this and Guided Negotiations. This resource will be used to cover the additional closures required in both initiatives.
- 2.2 Guided Negotiation - After working through potential opportunities in the PAP there was an expectation of circa 19 closures per month. November delivered 17. This is now a BAU process with some limited additional resource added.
- 2.3 Nudge - there was an expectation of circa 26 closures per month. November delivered 45. This is now a BAU process and is subject to review each month to assure ourselves of increased, as well as decreased, delivery against the assumptions.
- 2.4 GET Investigator (GETI) – GETI's continue to be in the pilot phase, they remain on an upward learning curve that has seen them take 60 cases from the PAP in November. Early indications are where a case goes through to an investigator the investigation times are significantly reduced. Total investigation time on a sample of 26 cases was circa 46 days compared to a case where there has been no GETi involvement of 91 days. January and February will see volumes of cases taken from the PAP increase, as GETI's knowledge and experience increases and they are signed off the quality and feedback process.
- 2.5 Bulk updates – this is the automation of pushing messages to complainants and service providers in the PAP throughout their wait time. This keeps both parties engaged and informed, manages their expectations and nudges parties to consider the resolution of their case prior to LeO involvement.

## 3. PAP Initiatives – Planned / Due to start

- 3.1 Earlier ombudsman intervention – Using ombudsman to review and direct complaints at the entry point for customers. The output anticipated from targeting resource in this way will deliver additional numbers of earlier customer outcomes and help inform the proportionality work outlined in the 22/23 Business Plan
- 3.2 Demand Management – using existing Scheme Rule 5.7a and 5.7n to determine proportionality at initial complaint stage. Initial estimates suggest

as much as 10% reduction of cases going into the PAP - circa 60 cases per month

- 3.3 Proportionality test on existing PAP – Ombudsman undertakes checks to apply existing Scheme Rules to determine proportionality at this stage for cases where poor service is found but with low or no detriment. Depending on where the acceptable level of detriment is set, initial estimates suggest removal of up to 94 additional cases before investigation based on an assumption of low remedy. Work is urgently ongoing to ascertain the level at which this should be set and may benefit from a differing level according to the area of law.

## 4. BAU efficiencies – In progress

- 4.1 Amendments to Quality and Feedback form – This has removed data collection duplication for investigators and saves circa 15 minutes on every investigation – this is now BAU
- 4.2 Scoping call planning at assessment stage – accurate scoping sets the tone for the entire case, any errors at this stage compound as the cases progresses and results in failure demand and rework. Formalising the approach will improve the customer journey, reduce rework and improve customer journey times – this is now BAU
- 4.3 Listening to our people – After engagement with, and feedback from, established investigators a limited trial with 1 team will start. It will test whether removing much of our formal process and give ‘signed off’ established investigators, the autonomy to manage cases in the way they believe would be most efficient, improves overall performance. This began in December and will run throughout Q4. We will be monitoring how investigators feel, as well as the impact to customers in terms of quality, speed and outcome volumes.

## 5. BAU efficiencies and process reviews – In planning

- 5.1 Review of Request Remind Proceed Process – This review has been completed, and the implementation of agreed action will give improved guidance to investigators on how they proceed or dismiss cases where parties disengage. This work has the potential to improve customer journey times and free up investigator resources which are then reinvested into other cases.
- 5.2 Combining Scope and evidence request – Currently we wait 7 days to allow parties to confirm complaints before sending an evidence request. GETi’s have trialed removing this step, it has had no detriment and has reduced time. We plan to roll this out across operations to reduce an unnecessary admin burden and reduce investigation timelines.
- 5.3 Removing the requirement for Service Provider to agree complaints in all cases. This delays the early part of a case when Service Providers cannot respond to the request often due to their own work loads. Removing this step will reduce delays and improve investigation times.

5.4 Adding new complaints – This has reviewed the process of when a complainant can add extra complaints that would have been known at scoping stage of the complaint. Adding complaints that would have been known about delays investigations and creates part premature complaints that stop the investigation proceeding which elongates the customer journey time. Streamlining this process, within our existing Scheme Rules, will reduce investigation time and remove admin burden from investigators and improve the overall service to Service Providers and complainants.

## 6. People / Structure changes – In progress

6.1 Improved induction / Grad Bay – we have taken feedback from previous new recruits to LeO and used this to change and develop the 2021 induction process. We previously experienced new recruits leaving LeO early and any changes therefore had an aim of improving retention and productivity at an earlier stage of their career with LeO. Both July and September cohorts are delivering results beyond the expectation set. The July starters were due to deliver 2.93 closures per FTE, but exceeded by delivering 4.75 in November. September starters were due to deliver 0.78 per month, but have also exceeded expectations by delivering 1.4 in November. Attrition is lower when compared to previous cohorts.

6.2 Combining the L1 Ombudsman investigator and QaF role – combining the two distinct roles will deliver a more flexible ombudsman resource. It gives us flexibility to react to changes in demand in the 3 core areas that L1's deliver: High Complexity complaints, Quality and Feedback to investigators and decision making. A combined team ensures that Team Leaders can use ombudsman to react to the demands of the business in a more agile way. This change takes effect from 6 December.

6.3 Increased Leadership capacity – Large volumes of new investigators require increased support and leadership, increased attention on performance variation activity, leadership of PAP reduction activity, business process change and coaching, and development work all means there is a need for increased operational leadership capacity. 1 new Operations Manager joins the team from [REDACTED] [REDACTED] in January 2022. We also had a new Team Leader join in November.

### **Operations Management Team December 2021**

\*Fol Exempt S. 40 Personal Information