

## Allocation Policy

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### Version Control:

Version	Date	Author	Details of review
1	Sep 20	Joyce Adu	
1.1	Oct 22	Jennifer Ryans	Updates to reflect the introduction of case risk assessments and the separate allocation streams for more and less complex cases
1.2	Feb 23	Sarah Woolley	Updated to include Sigma type A cases and allocating by risk type then age. Also to include ensuring cases are allocated to be completed no less than 18 months after the duly made date.

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## **1. General principles for case management and allocation**

The Ombudsman must appropriately and adequately allocate resources to enable their functions to be carried out effectively, efficiently and in accordance with the Scheme.

## **2. Case types**

During the HOS triage process, each case is assigned a classification code, the case type, which signifies our assessment of the case complexity and resolution route for the case. The case type also indicates the investigation pathway for the case.

The case types are as follows:

- Type A
- Sigma type A
- Type B
- Type C
- Outside Jurisdiction (OSJ) and Type A mediation cases
- Type B Mediation

OSJ and Type A mediation cases are not allocated but dealt with as part of the triaging process.

## **3. Investigation Pathways**

The investigation pathways match the case type with the most suitable caseworker by considering the complexity of the case, the subject matter and the sensitivity of the case.

### Type A cases

Type A cases are investigated by investigators. Type A cases will typically be less complex cases with less information available and fewer complaint factors.

### Sigma type A cases

Sigma type A cases are the least complex cases. These will typically only have one complaint factor. These cases will be subject to internal quality checks prior to issuing determinations.

### Type B and Type C cases

Type B and Type C cases are investigated by adjudicators. This includes bank adjudicators. Type C cases will include the most complex cases. These could be cases with multiple complaint factors, significant legal issues and/or cases which have not previously been investigated by HOS. Adjudicators working on type C cases may also need to work more closely with the Ombudsman to develop their determinations.

### Type B mediation cases

These are investigated by dedicated mediation adjudicators.

## **4. Prioritising cases for allocation**

All cases are assessed during the triage process. A case is allocated for investigation based on sensitivity, then age, from oldest to youngest, in each of the investigation pathways.

Cases may be prioritised for allocation if they are:

- related to a paragraph 49 further investigation
- cases where the duly made decision was made 15 months or more before<sup>1</sup>
- highly sensitive cases (based on an assessment of the complaint and/or the resident's individual circumstances).
- non-delegated categories of casework
- subject to a joint investigation with another Ombudsman (dependent on when the other party is ready to investigate).

Heads of DR are responsible for ensuring that cases are appropriately allocated to teams and managers are responsible for ensuring allocations to caseworkers are managed in line with conflict-of-interest declarations.

## **5. Allocating cases for review**

Where a review has been accepted, cases will be allocated based on a number of factors, but we will usually allocate in the order the request was received. Cases will be escalated for immediate allocation in the following circumstances:

- cases assessed as highly sensitive based on information submitted to support the review request
- cases relating to a landlord where a paragraph 49 wider investigation is underway
- investigation finding of severe maladministration
- early OSJ decisions
- CHFO decisions

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<sup>1</sup> We aim to complete all investigations within 18 months of their duly made date.