

Employment and Support Allowance (ESA) replaced incapacity benefits in October 2008 and offers support for ill or disabled people. Claimants must participate in a Work Capability Assessment (WCA) to check eligibility. Those found eligible for ESA are either placed in the Work Related Activity Group (WRAG), which offers support in preparing for work, or the Support Group (SG) if unable to work or complete work-related activity. Those not eligible are found Fit for Work (FFW). Since October 2013, if claimants disagree with assessment outcomes they can request a Mandatory Reconsideration (MR). If they disagree with the MR outcome they can appeal to Her Majesty's Courts & Tribunal Service (HMCTS).

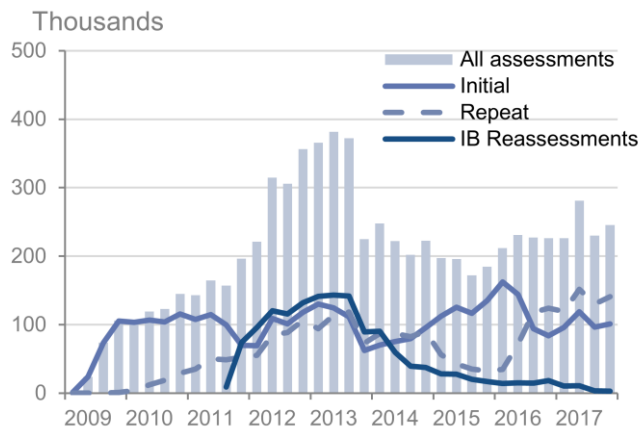
## Main stories

- Completed assessments increased slightly in the quarter to September 2017; initial assessments from 96,000 to 100,000 and repeat assessments from 130,000 to 140,000.
- Outcomes for initial claims completed in the quarter to September 2017 were 39% SG, 19% WRAG and 41% FFW.
- ESA-WCA MRs registered in January 2018 stood at 16,000 after peaking at 22,000 in March 2017. 84% of cleared MRs were not revised. MR median clearance times remained stable at 11 days in January 2018.
- For initial WCAs completed in September 2017, the median end-to-end clearance time fell by one week to 19 weeks.

## Work Capability Assessment

Completed initial and repeat assessments volumes have increased slightly since last quarter

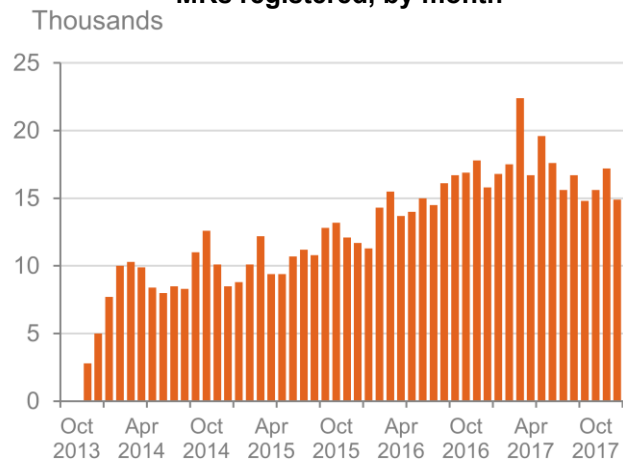
All Completed Assessments, by quarter



## Mandatory Reconsiderations

MR registrations have fluctuated in recent months

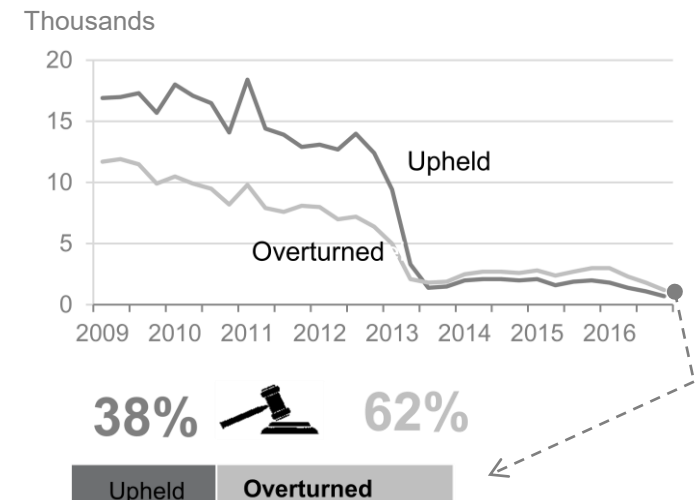
MRs registered, by month



## Appeals

Appeals completed on initial FFW outcomes have fallen slightly. 38% decisions were upheld

Appeals completed (for initial assessments)



## At a glance

Page

[WCA Process Flow](#)

3

[Sankey Diagram](#)

4

[WCA clearances and outcomes](#)

5

[MR registrations, clearances and outcomes](#)

7

[Appeals clearances and outcomes](#)

9

[Health Conditions and ESA group allocation](#)

10

[Customer journey clearance times](#)

11

[About these statistics](#)

12

**Lead Statistician:** Judith Correia

[judith.correia@dwp.gsi.gov.uk](mailto:judith.correia@dwp.gsi.gov.uk)

**DWP Press Office:** 0203 267 5144

Comments? We welcome feedback

Published: 8<sup>th</sup> March 2018

Next edition: June 2018

ISBN 978-1-78659-015-2

© Crown copyright

## What you need to know

These statistics are released quarterly and cover ESA-WCA outcomes, MRs and appeals information sourced from:

- DWP's benefit administration datasets including MR data
- Healthcare provider assessment data
- HMCTS appeals data for completed appeals
- Clearance times for initial claims broken down into process stages

In addition to the ESA-WCA national statistics contained in this release, we have developed extra experimental ESA-WCA cohort figures by merging MR data with benefit, assessment and HMCTS data to allow us to track claimants through the stages of their ESA-WCA journey – see [page 3](#).

Experimental statistics on ESA clearance times have recently been included. They are for initial claims and give a breakdown of clearance times across various stages of the ESA claim process – see [page 11](#).

The label 'experimental' means these sections are not National Statistics until they have been assessed by the UK Statistics Authority's Office for Statistics Regulation as fully meeting the Code of Practice for Statistics. They are included here as they are undergoing evaluation and to allow a fuller analysis of the statistics. *Users should be aware of possible methodology issues and data limitations whilst using them.* See [methodology note](#) for more information.

**Note:** robust data for both the regular and experimental cohort information is available for claims that began at least 6 months following assessment date or, for initial assessments, nine months following the date of claim. This is due to time required to complete assessments, record and process data accurately and align with other publications. **Hence, only claims made before the end of June 2017, assessments completed up to end of September 2017, completed appeal outcomes for initial FFW decisions for claims started up to December 2016 and clearance times for initial ESA WCAs completed up to the end of September 2017 are included in these statistics.** Throughout the release, figures are presented by assessment date, unless otherwise stated.

### ESA Work Capability Assessment, Mandatory Reconsiderations and Appeals process

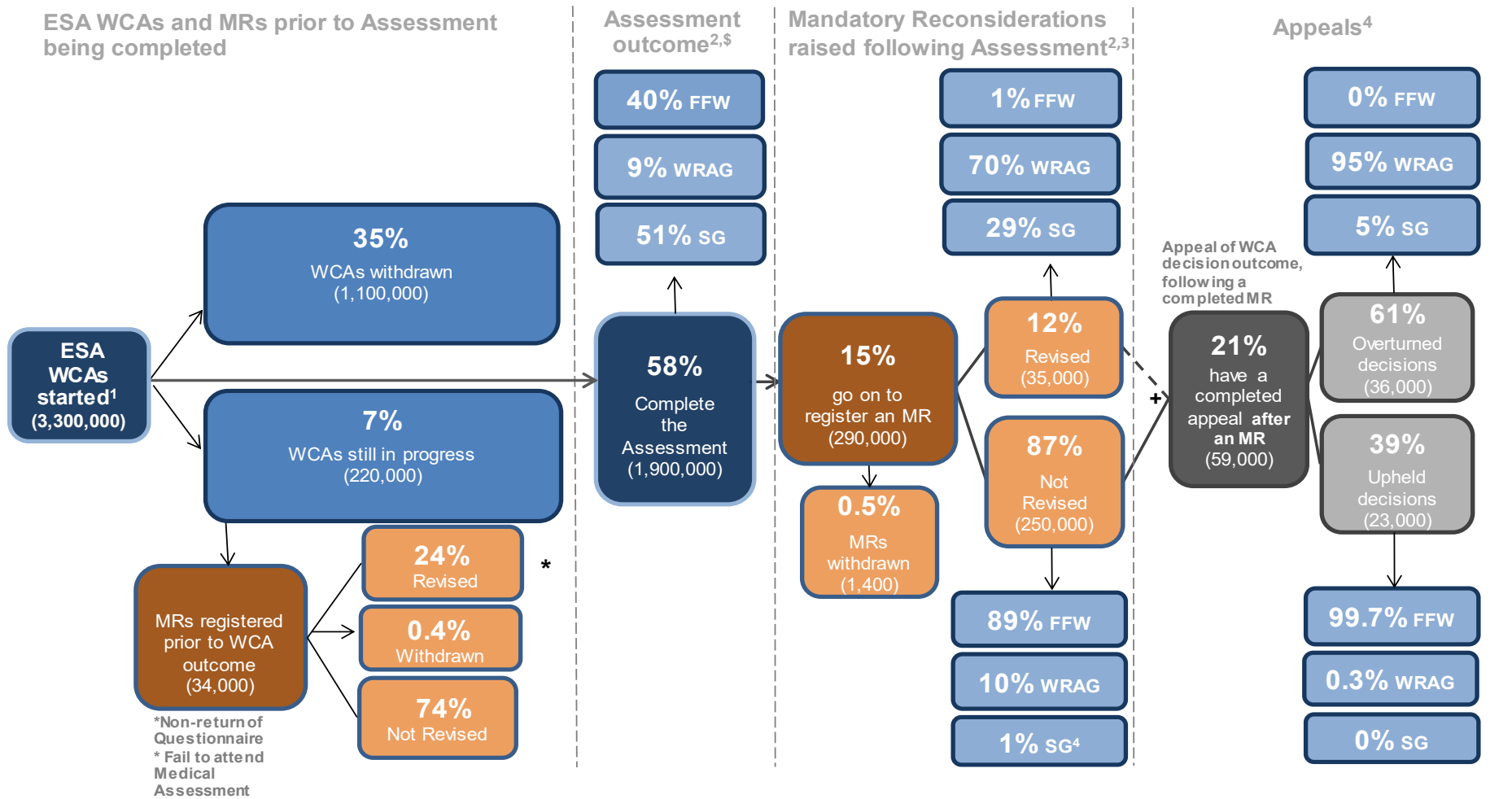
The following flow chart, containing experimental data, shows the claim process to assess ESA entitlement. If claimants disagree with their assessment outcome they can ask DWP to review it by registering an MR. Following the MR outcome if the claimant still disagrees with the decision, they can appeal to HMCTS.

There are 3 types of Work Capability Assessments:

- Initial assessment – for new ESA claims
- Repeat assessment – existing claimants must undergo regular reviews; timescales depend on medical condition
- Incapacity Benefit reassessment (IBR); all IB claimants will eventually be reassessed for ESA or Universal Credit

The figures presented in both the flow chart (page 3) and sankey diagram (page 4) cover all parts of the ESA-WCA process for claimants starting their ESA claim between October 2013 and June 2017 for **initial and repeat assessments only**.

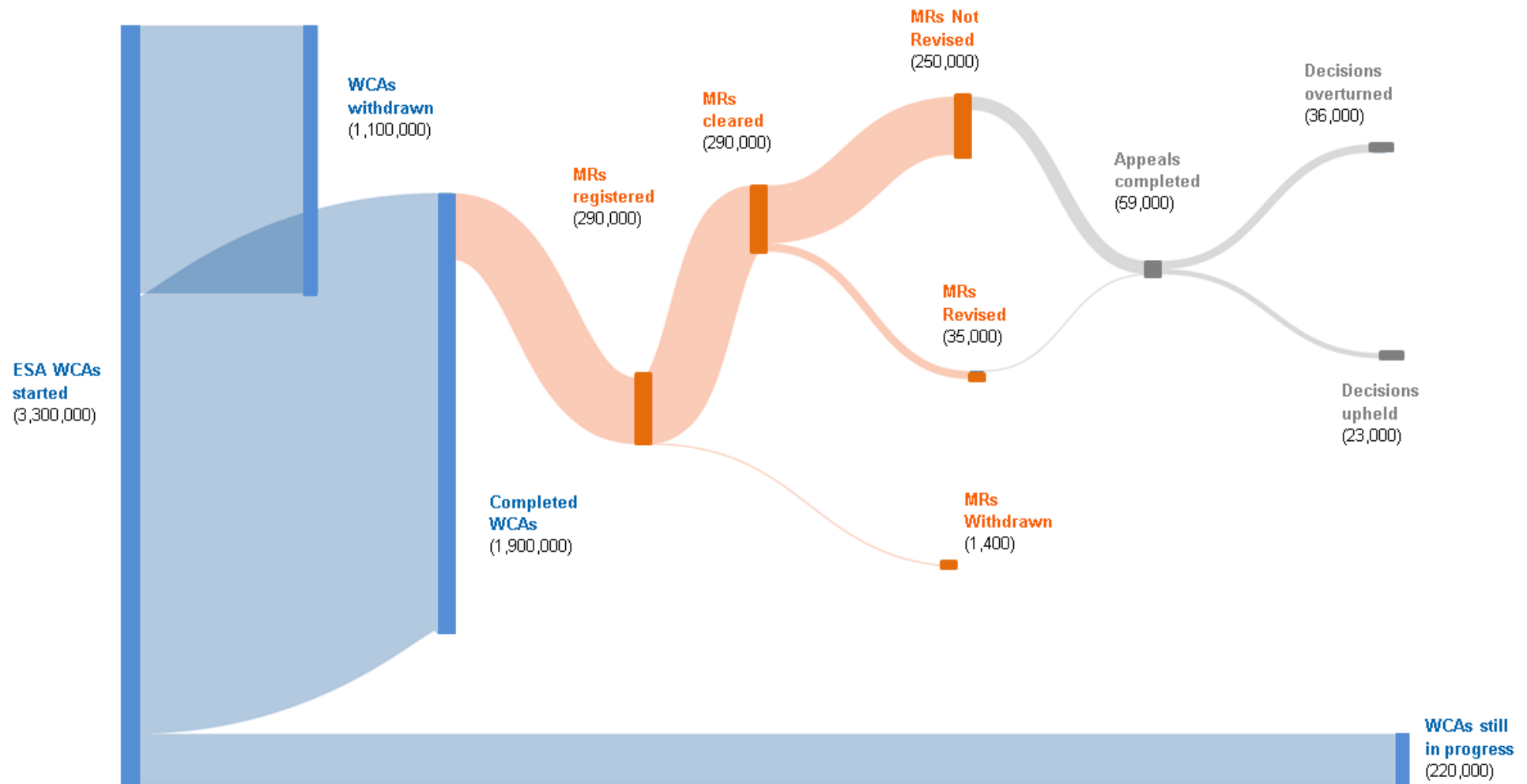
# Overview of the Work Capability Assessment, Mandatory Reconsideration (MR) and Appeals process for initial and repeat ESA WCAs starting October 2013 – June 2017 - (Experimental)



## Overview of the Work Capability Assessment, Mandatory Reconsideration (MR) and Appeals process for initial and repeat ESA WCAs starting October 2013 – June 2017 - (Experimental)

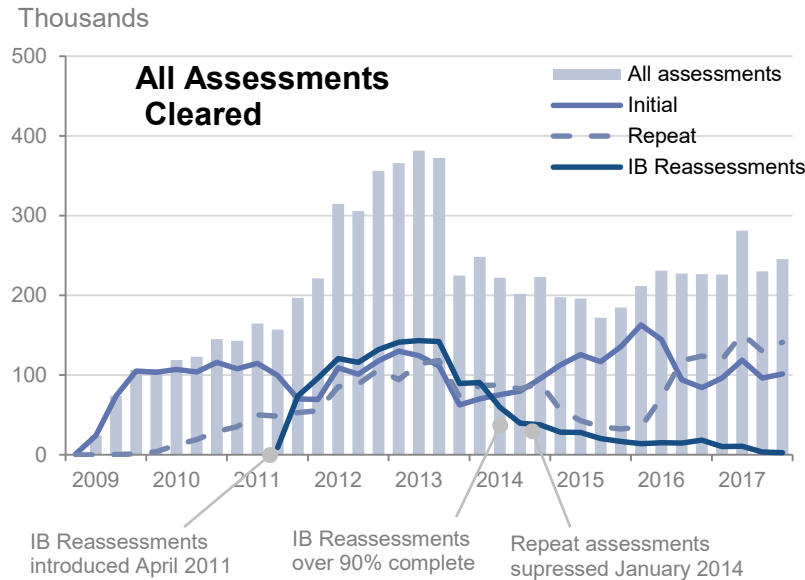
The following diagram gives a visual representation of proportions at each stage of the ESA Work Capability Assessment (WCA) process. The relative thickness of each segment represents the volume of cases flowing through each stage. For initial and repeat ESA WCAs which started between October 2013 and June 2017:

- 58% have had a completed WCA (1,900,000 assessments). WCAs relating to the remaining claims are either still in progress or have been withdrawn/cancelled.
- 290,000 MRs have been registered in relation to the 1,900,000 completed WCAs.
- The diagram shows that 99% of these MRs have been cleared, with the decision maker's original decision revised 12% of the time.
- 21% of assessments with a completed MR also complete an appeal. Of this group (59,000 cases), the latest case decision was upheld 39% of the time.



# ESA initial and repeat assessment outcomes, IB reassessments

58% of all assessments cleared in the latest quarter were for ESA repeat assessments



## Main Findings

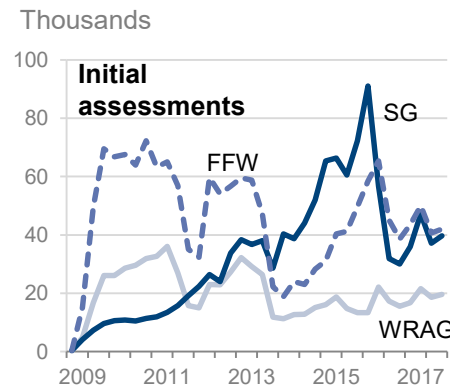
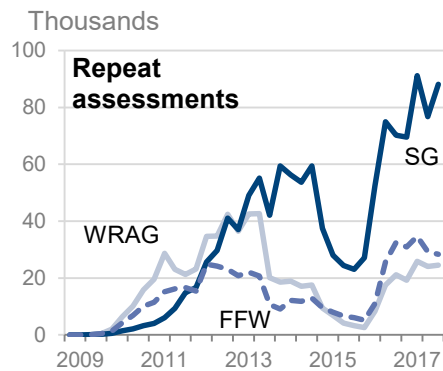
In the latest quarter to September 2017 the majority of cleared ESA-WCA assessments were for repeat assessments.

At the end of 2013, IB reassessment and repeat assessment volumes dropped significantly. The majority of IB reassessments were completed by that point and the focus was moved from assessing existing claims (including repeat assessments) to clearing new claims. IB reassessments are now 96%<sup>1</sup> complete.

ESA repeat assessment volumes have increased in recent quarters as processing was re-introduced in December 2015, after almost two years of focussing on initial assessments. During this period, claimants could still request a repeat assessment, for example if they developed a new condition or their condition deteriorated. Since processing of repeat assessments was re-introduced, the number of repeat assessments has increased from 35,000 in the quarter to December 2015 to 140,000 in the latest quarter.

See accompanying [tables](#) for full data.

## Repeat and initial assessment volumes have increased this quarter



There has been a slight increase in completed initial and repeat volumes this quarter compared to the previous quarter.

Since the re-introduction of repeat assessments, their numbers have increased significantly meaning there has been a general increasing trend across all outcomes (SG, WRAG and FFW), however FFW outcomes have dropped slightly this quarter.

Repeat assessments accounted for 58% of all assessments in the latest quarter.

In the quarter to September 2017, SG, WRAG and FFW numbers increased for initial assessments owing to higher initial assessments completed than in the previous quarter.

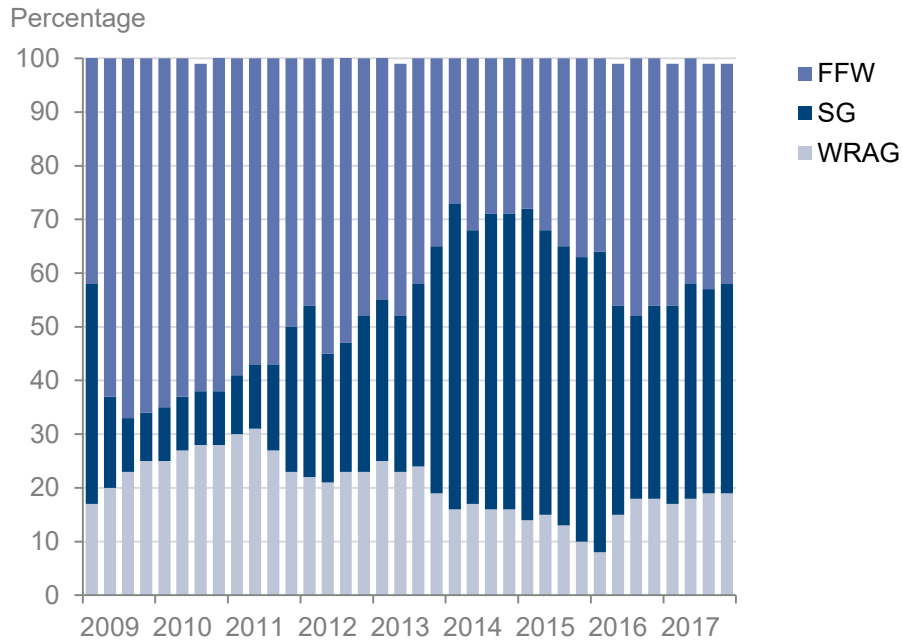
See accompanying [tables](#) for full data.

**Note:** Assessments cleared and outcomes are shown in quarters by completed assessment date.

<sup>1</sup> The percentage shown excludes all IB cases still in progress

# Assessment outcomes for ESA initial assessments

The proportion of outcomes for ESA initial assessments has started to stabilise in recent quarters



**Note:** Assessment outcomes are shown in quarters by completed assessment date. Percentages may not sum to 100 due to rounding.

## Main Findings

For the 100,000 ESA initial assessments cleared in the latest quarter to September 2017:

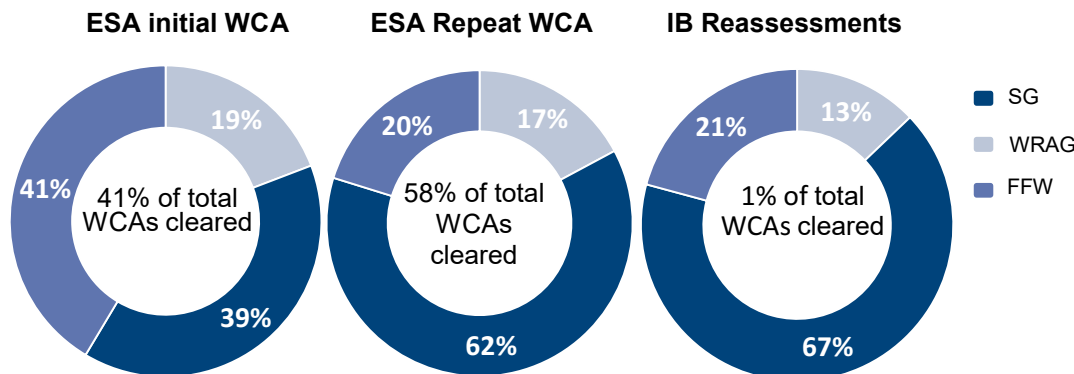
Support Group	39%	▲	Up 1 percentage point since previous quarter
Work Related Activity Group	19%	↔	No change since previous quarter
Fit for Work	41%	▼	Down 1 percentage point since previous quarter

Outcomes of initial assessments entitled to ESA (assigned to SG or WRAG) increased by 3,600 in the latest quarter to September 2017 to stand at 59,000.

Historically, there have been significant changes in the volumes of initial assessment assigned to each outcome. In recent quarters, the proportion of initial outcomes have started to stabilise, as shown in the chart, with a change of 1 percentage point for SG and FFW outcomes and no change in percentage for WRAG in the latest quarter.

See accompanying [tables](#) for full data.

## ESA and IBR assessments: Cleared outcomes for the latest quarter show big differences across claim types



For assessments cleared in the latest quarter to September 2017, 41% were initial ESA claims, 58% were ESA repeat assessments and 1% were IB reassessments.

In the latest quarter, to September 2017, most WCA clearances (58%) were repeat assessments. This is an increase from 16% in the quarter to December 2015. This is due to the re-introduction of repeat assessments in December 2015 after almost two years of focussing on initial assessments.

The majority of IB reassessments and ESA repeat assessments have Support Group outcomes, at 67% and 59% respectively, in contrast to 39% for ESA initial assessments.

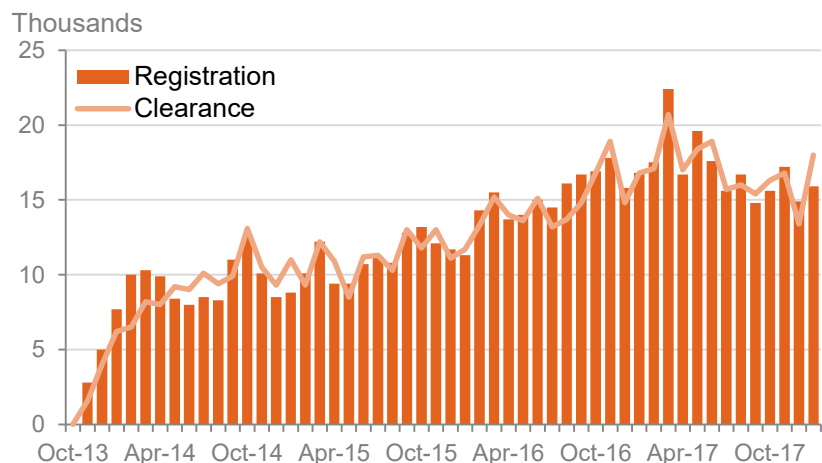
Initial ESA assessments have the highest FFW rate at 41%. This is expected as, unlike IB reassessments and repeat ESA assessments, these claimants don't have a previously known functionally limiting condition.

# ESA-WCA Mandatory Reconsideration registrations, clearances and clearance times

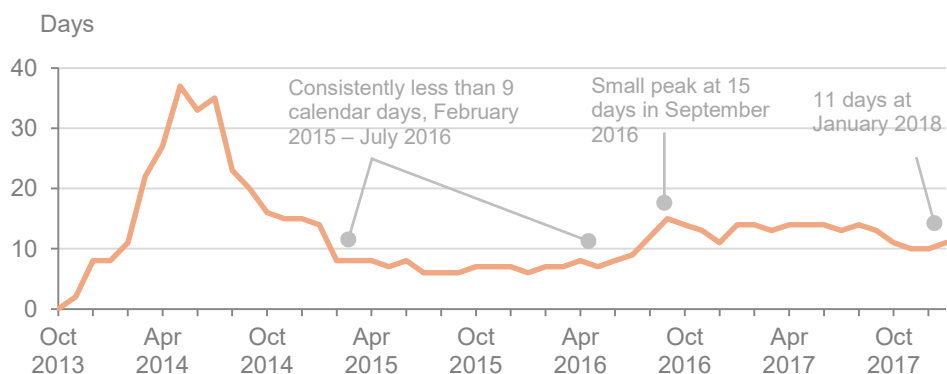
If a customer disagrees with their assessment decision they have the opportunity to raise a **Mandatory Reconsideration** and ask DWP to formally review the decision. The aim of a MR is to resolve disputes as early as possible without the need for an appeal hearing. MR figures require less retrospection than the cohort data and are therefore reported monthly to allow the most recent figures to be included.

See [methodology](#) note for a more detailed explanation.

## Mandatory Reconsideration registrations have fallen since March 2017



## Mandatory Reconsideration median clearance times have been broadly stable since August 2016



**Note:** MR Registrations and Clearances are shown by month. MR median clearance times are shown by month of decision.

## Main Findings

The MR process was introduced in October 2013. From its introduction up to March 2017, numbers of registrations generally increased over time. Since a peak of 22,000 in March 2017, registrations have fluctuated but gradually fallen to 16,000 in January 2018.

When the MR process was first introduced, clearance numbers were low in comparison to registrations. However, since May 2014, clearance volumes have improved, as the MR process became established and clearance volumes have been similar to registrations.

In January 2018, the median monthly clearance time was 11 calendar days.

Since January 2015, after the MR process was established, the median MR clearance time has not exceeded 15 days.

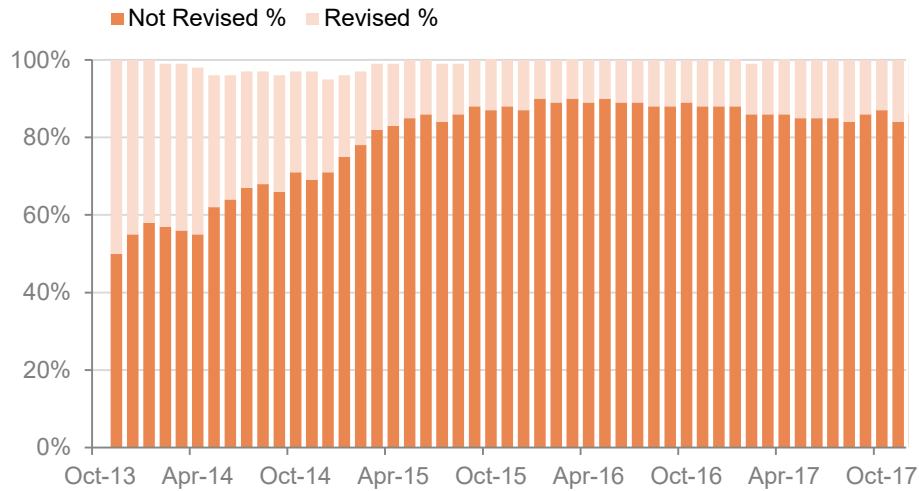
Over the last year, the median monthly clearance time has remained fairly stable showing a gradual decline from 14 days on January 2017 to 11 days in January 2018.

See [methodology](#) note and page 9 for how median clearance times have been derived.

See accompanying [tables](#) for full data.

# ESA-WCA Mandatory Reconsiderations outcomes

84% of assessment outcomes were not revised at Mandatory Reconsideration in the latest month, January 2018



**Note:** MR outcomes are shown by month of decision. Revised % includes allowed and disallowed revisions. Percentages may not sum to 100 due to rounding.

## Main Findings

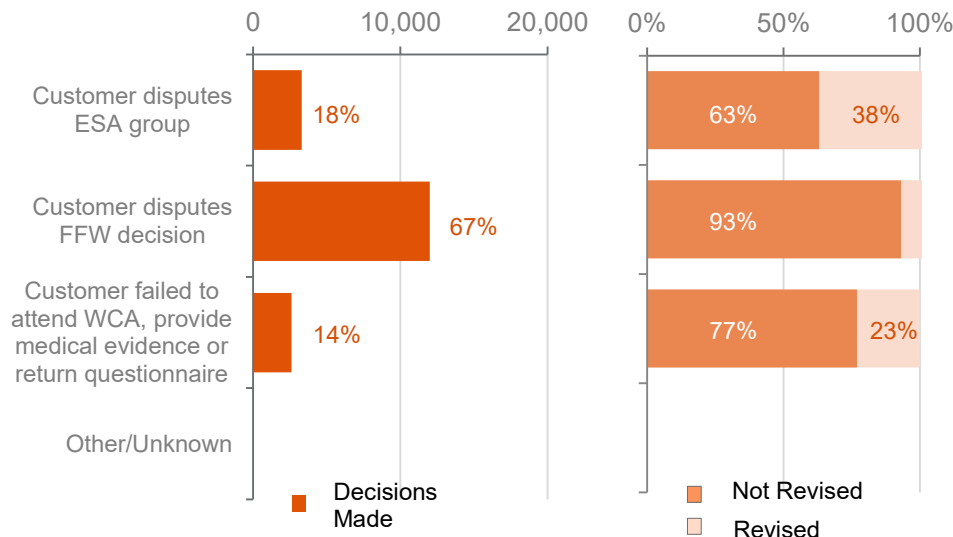
During the MR process, the DWP Decision Maker will review the evidence for the decision under dispute to either revise or not revise the decision.

When MRs were first introduced, much higher proportions of decisions were revised than in later years. The proportion of revised decisions fell gradually to May 2015, since then it has fluctuated below 17%. In the latest month, January 2018, 15% of decisions were revised at the MR stage.

Since May 2015, monthly proportions of MRs not revised have varied between 84% and 90%. This trend continued in January 2018 where 84% of MRs were not revised; 15,000 decisions were not revised compared with 2,700 decisions revised.

See accompanying [tables](#) for further detail.

## Fit for Work disputes are the main cause of ESA-WCA Mandatory Reconsideration decisions in January 2018



The vast majority of MRs raised during the ESA-WCA process in January 2018 were due to FFW decisions. These types of MRs are less likely to be revised than the other categories.

In January 2018, 12,000 MR decisions (67%) were made on disputes about Fit for Work assessment outcomes. Only 8% of FFW disputes resulted in a revision in January.

In January 2018, 14% of MR decisions were made on disputes where the claimant had not followed the claim procedures correctly. These reasons include failing to return the initial questionnaire, failing to provide medical evidence or not attending their assessment. 23% of these disputes were revised in the latest month.

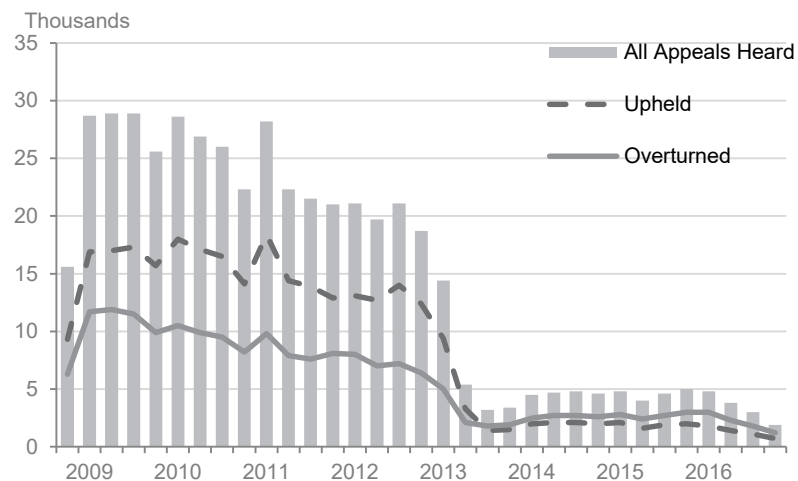
The breakdown of revised/not revised decisions per MR category for January 2018 is shown in the chart.



## Appeals clearances and outcomes

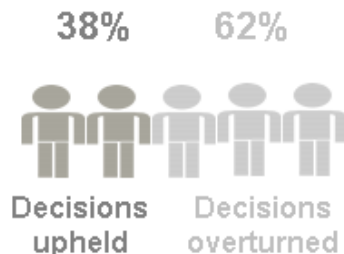
Following an MR decision, the claimant can dispute the decision further by appealing to Her Majesty's Courts & Tribunal Service where an official appeal hearing will take place to consider the decision evidence. At appeal, the decision under dispute will either be upheld or overturned.

### The number of appeals heard on initial FFW decisions has fallen



**Note:** Appeals outcomes are shown in quarters by claim start date.

### Approximately two in five initial FFW decisions were upheld at appeal this quarter



### Main Findings

Being found FFW at assessment is the primary reason for claimants disputing a decision and also the main reason for appeal hearings. These figures focus on FFW appeals for initial assessments.

The total number of appeals heard on FFW decisions for initial assessments is very low over the last 3 reporting years after a steep drop of 9,000 in the quarter to June 2013.

The chart shows that in the latest quarter, to December 2016, the number of appeals heard on FFW decisions for initial assessments has remained low, with a decrease from 3,000 to 1,900. Please note that as these figures are grouped by claim start date, numbers could increase as more appeals are completed for claims started between October and December 2016.

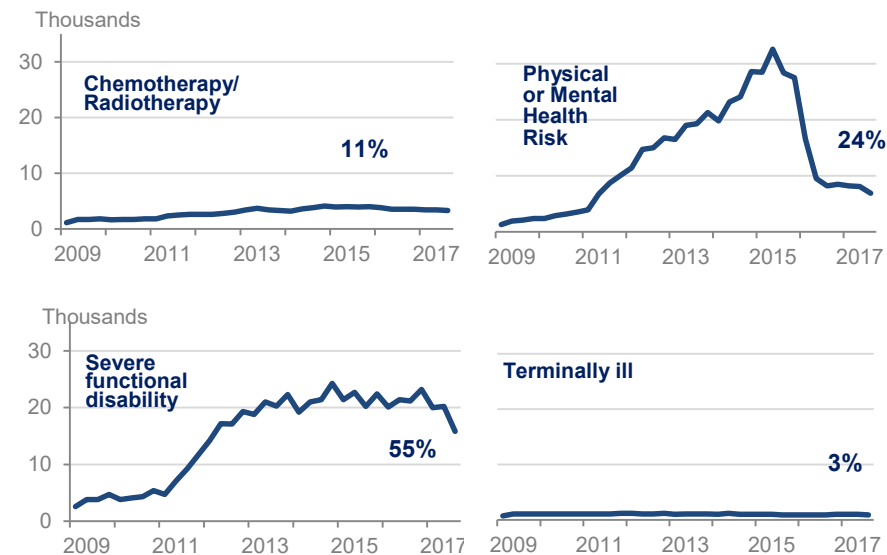
The low numbers of appeals over recent quarters may be partly due to the introduction of the MR process, although there could be other factors which have also contributed. The purpose of MRs is to give the customer an opportunity to present evidence against a decision for review without the need for formal appeal processes, therefore when the new system was introduced fewer appeals were expected.

This quarter, the proportion of decisions under dispute that were upheld at appeal has stayed stable at 38% over the last 3 quarters. The proportion of decisions under dispute that were upheld at appeal must take into context that these resulted from 1,900 initial FFW decisions with a claim start date in the quarter to December 2016.

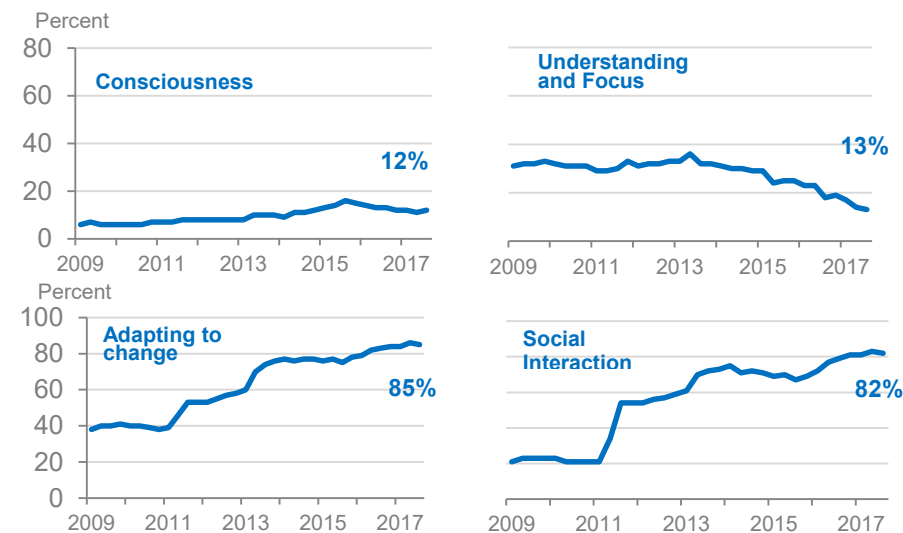
See accompanying [tables](#) for further details.

# Health Conditions and ESA group allocation for initial assessments

**‘Physical or mental health risk’ and ‘severe functional disability’ remain the main reasons for SG allocation this quarter**



**‘Adapting to change’ and ‘Social interaction’ remain the main reasons for WRAG allocation (with 15 points or more) this quarter**



## Main Findings

Most claimants assigned to the SG, who started their ESA claim in the quarter to June 2017, were placed there due to health conditions linked to ‘physical or mental health risk’ or ‘severe functional disability’. These two leading categories make up 79% of all SG allocations this quarter.

There has been a significant decrease in allocations to the ‘physical or mental health’ risk group for claims started from October 2015 onwards. Volumes in this group fell from 28,000 in the quarter to September 2015 to 17,000 in the quarter to December 2015. This could partly be due to updated guidance on the application of risk introduced at the start of 2016 to restate the policy intent and place the question of risk in the context of work-related activity. Volumes in this group continue to fall this quarter to 6,900.

‘Chemotherapy/radiotherapy’ and ‘terminally ill’ numbers have fluctuated very slightly but have remained relatively low, accounting for 11% and 3% of all SG assignment reasons respectively for claims started this quarter.

The charts show the four main functional impairment categories in which claimants have scored points when assigned to the WRAG, scoring 15 points or more at initial assessment. Receiving 15 points or more is the main reason for assignment to the WRAG at initial assessment however; claimants can also be assigned to the WRAG at reconsideration or after appeal.

For claims resulting in a WRAG allocation (with 15 points or more) the most common categories where claimants scored points this quarter were ‘adapting to change’ and ‘social interaction’. 85% of claimants having an ‘adapting to change’ condition and 82% scored points in the ‘social interaction’ group. **Note** that claimants can have multiple functional impairments therefore appear in more than one category.

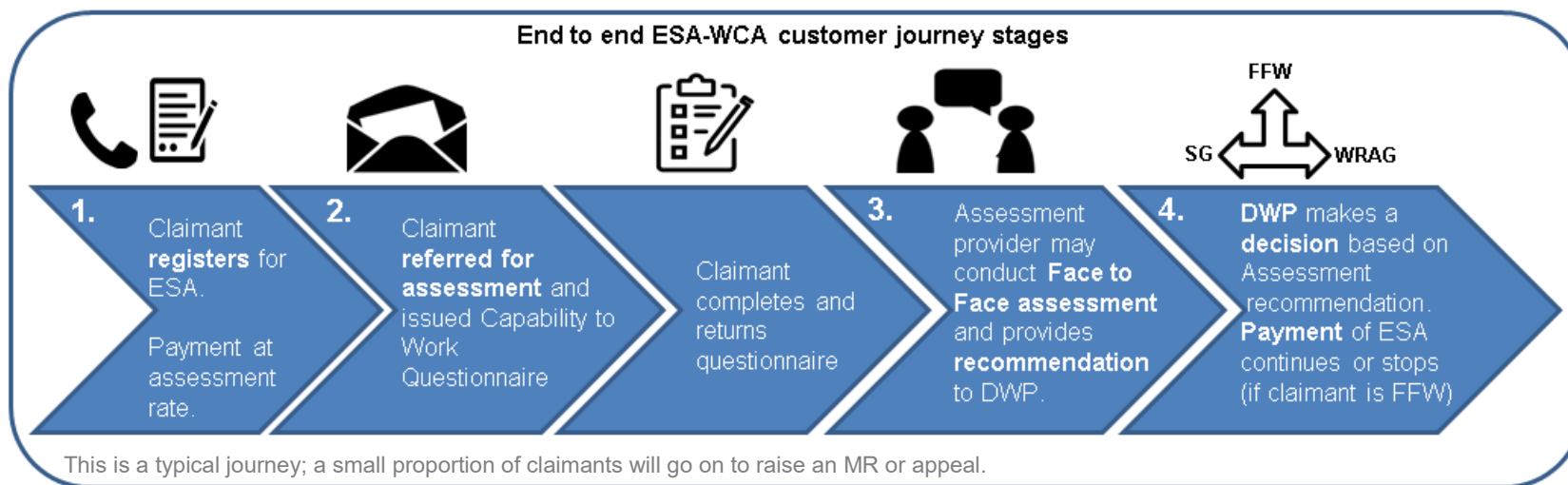
13% of WRAG claimants (with 15 points or more) scored points for ‘Understanding and focus’ this quarter. Other reasons for being assigned to the WRAG (with 15 points or more) which aren’t shown (Upper Limb, Sensory, Continence, and Lower Limb) are less common.

See accompanying [tables](#) for statistics on all reasons and health conditions assigned to the WRAG.

**Note:** All charts are shown in quarters by claim start date.

# ESA-WCA customer journey clearance times for initial claims (experimental)

The following process flow shows the main stages of a typical customer journey when completing a Work Capability Assessment for ESA:



## Clearance times for individual stages of the ESA WCA process

Monthly median clearance time (weeks) for completed initial claims by month of completion

Start Stage	End Stage	Clearance Type	Jul-17	Aug-17	Sep-17
1	2	<b>Claim Registration to Referral</b>	1	1	1
2	3	<b>Assessment Provider</b> (Referral to recommendation)	16	15	14
3	4	<b>WCA recommendation to DWP decision</b>	2	1	-
1	4	<b>End-to-end ESA claim</b> (Claimant registration to final decision)	20	20	19

- Individual stage medians may not summed to end to end median. Medians at each stage are calculated independently.
- Mandatory Reconsideration clearance times will be included in the end-to-end clearance time if they have been completed by the statistics extract date.
- Weeks are for weekdays and rounded to the nearest week.

## Main Findings

For initial WCAs completed in September 2017, the median end-to-end clearance time stood at 19 weeks, dropping by a median of 1 week since the previous quarter.

Within this, the median time spent with the Assessment Provider was 14 weeks in September 2017. This stage will usually involve an assessment and includes the waiting time for the customer to complete and return the questionnaire.

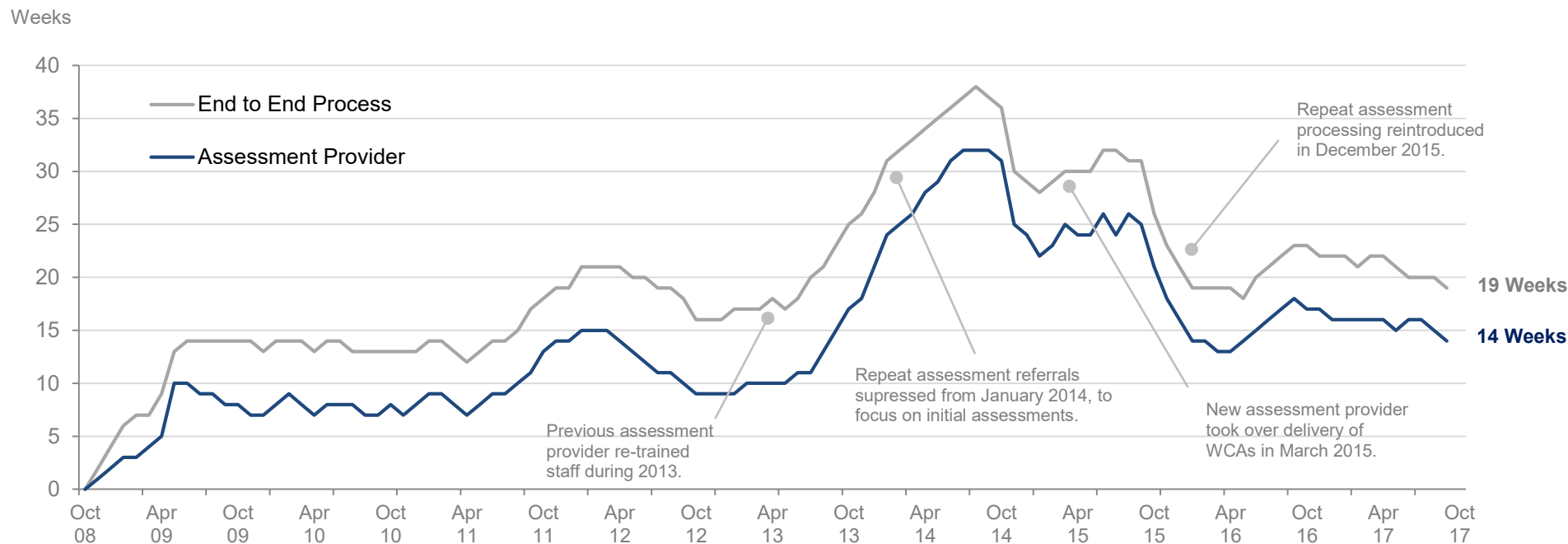
Note: The end-to-end clearance times recorded refer to time taken from claim registration to date of DWP decision. This decision will include MRs where there is a completed decision.

The accompanying [tables](#) show additional monthly breakdowns.

# ESA-WCA clearance times for initial assessments (experimental)

Clearance times have fluctuated since ESA was introduced in October 2008 and are now showing a decreasing trend.

## Median clearance times (weeks) for completed initial claims up to September 2017



**Note:** Clearance times are shown by month of clearance. Median weeks are calculated in weekdays and rounded to the nearest week.

## Main Findings

The chart shows end-to-end median clearance times from claim registration to final DWP award decision for initial claims from October 2008 to September 2017. Included in the end-to-end process is the time taken from when the customer is referred to the health assessment provider to the provider's recommendation. The median clearance time for the assessment provider is also shown in the chart.

In September 2017, the median end-to-end clearance time was 19 weeks. The median clearance time for the assessment provider (referral to recommendation) took 14 weeks.

The median end-to-end clearance time has reduced by nearly half in the latest month, September 2017, (19 weeks) since reaching a peak of 38 weeks in August 2014. The chart shows the assessment provider clearance times median follow a similar pattern, reaching their peak in July 2014 at 32 weeks and then falling to stand at 14 weeks in September 2017.

See accompanying [tables](#) for additional breakdowns.

## About these statistics

This product has been assessed by the UK Statistics Authority for National Statistics status and has been awarded National Statistics. National Statistics designation is awarded to the subset of official statistics that are judged to be of good quality, value and trustworthiness. This badge does not currently apply to the experimental cohort figures or ESA clearance times.

### Key uses of the statistics include:

- Providing the evidence base for assessing the potential effect of changes, monitoring and evaluation of DWP policy
- Answering Parliamentary Questions and Freedom of Information requests and Forecasting benefit expenditure (in conjunction with expenditure statistics)
- Policy development and evaluation by local authorities and other welfare to work and pensions stakeholders and providers.

### Terminology:

- **Registration** - Claimant registers an application for a WCA, MR or appeal.
- **Clearance** - DWP decision maker has determined whether the claimant should or should not be entitled to claim ESA.
- **Mandatory reconsideration** - Claimant wishes to dispute a decision made on their claim and requests DWP to reconsider the decision.
- **MR clearance time** - The clearance time begins from the point the MR is raised on the DWP administrative system by the Benefit Centre as a valid MR, having considered whether they can initially change the decision in the light of any new information. The total clearance time therefore includes the time taken to transfer the case to the Dispute Resolution Team and the time taken for the decision maker to make a decision.
- **Repeat assessment** - An existing claim that has been reassessed for ESA, as opposed to a new claim. A repeat assessment is the second or subsequent WCA undertaken on an existing, continuous ESA claim, usually between 3 and 24 months after the previous assessment. These claimants will have already been assessed as having a limited capability for work at their initial WCA and the repeat assessment will assess if their capability for work has changed.

### Experimental cohort statistics:

MR statistics have been added to the regular cohort data to build on the story of the end to end customer journey. The cohort MR statistics are less timely than the stand alone MR statistics due to time lags in the benefits data and assessment data they are linked to in the cohort process. Time lags are present to allow stages within the process sufficient time to complete. These statistics give a feel for the volumes flowing through each stage of the ESA WCA process. For robust figures on individual stages, please use the stand-alone figures within the published tables (not table 17).

### ESA Clearance Times (experimental):

- This release includes recently developed ESA clearance times. The statistics are labelled as experimental as there is scope to develop them further.
- Clearance times for initial claims only are included in these statistics.
- Clearance times are calculated as median weeks where a week is derived from the number of working days then rounded to the nearest week.
- These figures are derived for cases where a final award decision has been recorded.
- MR decision dates are included in the final DWP decision date where available.

See [methodology note](#) for more detailed information on these statistics.