

## INTRODUCTORY NOTE

### *The Upper Tribunal (Administrative Appeals Chamber)*

The Upper Tribunal is a superior court of record created by the Tribunals, Courts and Enforcement Act 2007. It has jurisdiction throughout the United Kingdom. The Administrative Appeals Chamber (AAC) of the Upper Tribunal came into being on 3 November 2008 and the Social Security and Child Support Commissioners and Deputy Commissioners of Great Britain and of Northern Ireland became judges of the Upper Tribunal assigned to the AAC. Almost all the functions of the Commissioners in Great Britain<sup>1</sup>, including those previously exercised as Pensions Appeal Commissioners on appeal from the Pensions Appeal Tribunals, were transferred to the AAC. The AAC became the body hearing appeals from the First-tier Tribunal in social security and child support cases in Great Britain, and in vaccine damage cases throughout the United Kingdom. In war pensions and armed forces compensation cases it became the body hearing appeals from the First-tier Tribunal in England and Wales, from the Pensions Appeal Tribunals in Scotland, and to a limited extent from the Pensions Appeal Tribunals in Northern Ireland.<sup>2</sup>

Also on 3 November 2008 the AAC became the body hearing second-level appeals in mental health, care standards and special educational needs and disability cases in England and Wales and senior judges in those jurisdictions joined the AAC. In addition the AAC was given a jurisdiction by way of first-level appeals from the Disclosure and Barring Service, formerly the Independent Safeguarding Authority, in England and Wales, and for this purpose specially qualified members of the lay panel of the Care Standards Tribunal were appointed to the AAC.

On 1 September 2009 the General Regulatory Chamber (GRC) of the First-tier Tribunal was created with responsibility for, among other things, estate agents and consumer credit cases throughout the UK and transport cases in Great Britain. Appeal rights to the AAC were conferred in these jurisdictions and senior judges joined the AAC. At the same time the function of deciding certain of the first-level appeals from Traffic Commissioners, formerly dealt with by the Transport Tribunal, was also transferred, and for this purpose additional specially qualified members joined the AAC.

On various dates from January 2010 onwards further new jurisdictions were created in the First-tier Tribunal with onward appeal to the AAC. These included, for England and Wales, appeals by doctors against decisions made by Primary Care Trusts in relation to the performers' lists maintained by the PCTs; for England, Wales and Scotland, regulation of gambling and, for England, Wales, Northern Ireland (and to an extent Scotland), information rights which covers Freedom of

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<sup>1</sup> In Great Britain the office of Social Security Commissioner remains for the purpose of one specific jurisdiction, that of hearing appeals in respect of recovery of NHS charges in Scotland.

<sup>2</sup> In Scotland a new right of appeal from assessment decisions in war pensions cases was created by the Transfer of Tribunal Functions Order 2008, and rights of appeal from other war pensions and armed forces compensation decisions, previously lying to the Social Security Commissioners, were transferred to the AAC. In Northern Ireland a similar new right of appeal from assessment decisions in war pensions cases was created. The Northern Ireland Social Security and Child Support Commissioners continue to deal with all other jurisdictions (including appeals from other decisions of the Northern Ireland Pensions Appeal Tribunals) exercised by them immediately before 3 November 2008.

Information requests, including those relating to national security certificates. Rules governing the information rights jurisdiction provide for all appeals to be begun in the First-tier Tribunal, but require that national security certificate cases be transferred to the AAC, and permit the transfer of other cases where both the First-tier Tribunal (GRC) and AAC Presidents agree.

Additional new jurisdictions have also been created in the First-tier Tribunal (GRC) with onward appeals to the AAC, including appeals in respect of alternative business structures, certain environmental civil sanctions and the regulation of examination boards. Other new jurisdictions are likely to be added in the future.

In cases arising under the law of England and Wales or under the law of Northern Ireland, ss 15 to 18 of the 2007 Act<sup>3</sup> set out a “judicial review” jurisdiction conferred on the Upper Tribunal. In addition to this “original” jurisdiction,<sup>4</sup> amendments to the Senior Courts Act 1981 and the Judicature (Northern Ireland) Act 1978 respectively are made by s 19 of the 2007 Act so as to provide for transfer to the Upper Tribunal of judicial review cases. The position in Scotland differs in that the Upper Tribunal has no original “judicial review” jurisdiction: under s 21 of the 2007 Act the Upper Tribunal’s “judicial review” jurisdiction is confined to deciding judicial review applications transferred to it by the Court of Session under s 20. Thus in all three jurisdictions there is a discretionary power to transfer certain types of judicial review case to the Upper Tribunal. Also in all three jurisdictions there is a power to specify classes of judicial review case which must be transferred to the Upper Tribunal: see ss 18(6) and 20(3) of the 2007 Act.<sup>5</sup> In Scotland one such class (comprising challenges to a procedural decision or a procedural ruling of the First-tier Tribunal) has been specified.<sup>6</sup> In England and Wales two classes were specified. In October 2008: (a) any decision of the First-tier Tribunal on an appeal made in the exercise of a right conferred by the Criminal Injuries Compensation Scheme in compliance with s 5(1) of the Criminal Injuries Compensation Act 1995 (appeals against decisions on review); and (b) any decision of the First-tier Tribunal made under the Tribunal Procedure Rules or s 9 of the 2007 Act where there is no right of appeal to the Upper Tribunal and that decision is not an excluded decision within para (b), (c), or (f) of s 11(5) of the 2007 Act.<sup>7</sup> No classes have as yet been specified in Northern Ireland. The criminal injuries compensation judicial review jurisdiction in the AAC for England and Wales is significant.

This is the seventh volume of the Administrative Appeals Chamber Reports. It includes decisions made by the AAC, and decisions of the courts on appeal from Commissioners and AAC judges, as well as relevant decisions in other jurisdictions.

The AAC has three offices:

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<sup>3</sup> brought into force on 3 November 2008 along with the remainder of Part 1 of the 2007 Act.

<sup>4</sup> which is confined to specified classes (see below).

<sup>5</sup> In England, Wales and Northern Ireland such a specification means also that the Upper Tribunal has an “original” jurisdiction in relation to the specified classes: see s 15(2) of the 2007 Act.

<sup>6</sup> Act of Sederunt (Transfer of Judicial Review Applications from the Court of Session) 2008, SSI 2008 No. 357.

<sup>7</sup> Lord Chief Justice’s Practice Direction of 29.10.08. A further class was added in October 2011 concerning fresh claim judicial reviews in immigration and asylum cases: this class does not affect the AAC.

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In addition appellants in Wales can file their appeals in Cardiff at:

The Administrative Appeals Chamber of the Upper Tribunal  
Cardiff Civil Justice Centre  
2 Park Street  
Cardiff  
CF10 1ET

Tel: (02920) 376460  
Fax: (02920) 376461

Further information about the procedure for appealing to the Upper Tribunal may be obtained from the appropriate office or from the Internet – as regards Great Britain, from the Administrative Appeals Chamber webpages at <https://www.gov.uk/government/organisations/upper-tribunal-administrative-appeals-chamber/about> or, as regards Northern Ireland, from the Commissioners' webpage on the Northern Ireland Court Service website at <http://www.courtsni.gov.uk/en-GB/Tribunals/OSSC/Pages/OSSC.aspx>.

*Reported Decisions of Commissioners and Upper Tribunal Judges*

Commissioners' and Upper Tribunal decisions on questions of legal principle are treated as binding on lower tribunals and on decision-makers acting on behalf of Government departments, local authorities and other official bodies in relevant geographical jurisdictions. That means that the principles laid down in the decisions must be applied in other cases arising in the same geographical jurisdiction (which,

depending on the subject matter, may be the UK as a whole, Great Britain as a whole, or one or more of England, Wales, Scotland and Northern Ireland). In other geographical jurisdictions such decisions are not binding but are persuasive.

Reported decisions are those decisions that are published in this official series to give them greater prominence. Published with them are decisions of superior Courts on appeal from or on judicial review of decisions of Commissioners and AAC judges and decisions of the Court of Justice of the European Union arising out of proceedings before Commissioners and AAC judges. Also included are some decisions of courts (and other tribunals) that are of particular relevance to the work of the AAC even though the individual case was not an appeal from, or otherwise directly connected to, the AAC.

The selection of Great Britain AAC decisions for reporting is made by an editorial board. New guidelines for selection of decisions for reporting were issued in 2006 and updated in December 2009, September 2010 and December 2013 and are set out in Appendix 1. The selection of Commissioners' decisions for reporting in Northern Ireland is made by the Chief Commissioner. Comments on the suitability of any decision for reporting may be sent to the secretary of the editorial board at the London office of the AAC by email to [simon.cockain@hmcts.gsi.gov.uk](mailto:simon.cockain@hmcts.gsi.gov.uk). Any comments on Northern Ireland Commissioners' decisions will be forwarded to the Chief Commissioner in Northern Ireland.

Each reported decision has a headnote in which the decision is summarised and which identifies the Commissioner, Upper Tribunal judge or Court who gave the decision, the date of the decision and the original file number. In Great Britain, they are written by the Legal Information Officers in the AAC's London office. In Northern Ireland, they are written by officers in the Department for Social Development or by the Legal Officer and submitted to the Chief Commissioner for approval.

#### *The Numbering of Commissioners' and Upper Tribunal AAC Decisions*

In Great Britain all decisions of Commissioners, and of judges of the AAC concerning matters formerly dealt with by Commissioners, have file numbers beginning with a "C", eg CIS/933/2006. Scottish cases are identified by an "S" after the "C", eg CSDLA/133/2005. When there was a separate Commissioners' office in Wales, Welsh cases were identified by a "W" after the "C". The other letters indicate the type of case, generally by reference to the benefit under consideration. The first set of numbers represents the individual file number. The final digits identify the year in which the file was opened at the Commissioners'/AAC office.

Letters which are, or have been, used to indicate the type of case are listed in Appendix 2.

When a decision is selected for reporting it is given an AACR number eg [2011] AACR 1.

Decisions reported before 2010 were given a number with a prefix beginning with an "R": eg CH/51/2008 was reported as R(H) 2/09. The letters in brackets again identify the type of case.

Until 1999, the final digits identified the year in which the decision was selected for reporting. Subsequently they identified the year in which the decision was first

published as a reported decision. Scottish decisions were not expressly identified as such.

In Northern Ireland, the letters identifying the type of case always appear in brackets after the numbers and, since 1999, the file number has been based on a financial year rather than a calendar year. Thus C72/98(IB) was the number of the decision reported as R 2/00 (IB); C3/01-02(IS) was the number of the decision reported as R 1/02 (IS). The letters themselves are based on the official abbreviation used by the Department for Social Development and its predecessors for the relevant benefit and so they are not always the same as the ones used in Great Britain. A “T” in brackets after the file number or reported number indicates a decision of a Tribunal of Northern Ireland Commissioners. From 2010 any reported Northern Ireland Commissioners’ decisions are published in the AACR series and numbered accordingly.

Decisions of the Upper Tribunal that appear on the website of the AAC are given a title (under current practice, usually anonymised) and a neutral citation number. See the Senior President’s Practice Statement *Form of decisions and neutral citation: First-tier Tribunal and Upper Tribunal on or after 3 November 2008*, published at <https://www.judiciary.gov.uk/publications/form-of-decisions-and-neutral-citation/> and reproduced after this Note. Decisions of the Upper Tribunal reported in this series during 2009 were given an “R” number, but with the addition of the title and neutral citation number, and published in sequence with Commissioners’ decisions, eg CH/3160/2007 became *AH v Mendip District Council and the Secretary of State for Work and Pensions* [2008] UKUT 18 (AAC); R(H) 3/09 and should be so cited.

Titles of all decisions reported or published on the website from 2010 are provided with a “flag” in round brackets after the title in order to indicate the subject matter of each decision, eg *KS v Secretary of State for Work and Pensions (JSA)* [2009] UKUT 122 (AAC); [2010] AACR 3. Flags currently in use are listed in Appendix 3.

#### *Citation of cases*

Both the neutral citation number and the report reference should always be used on the first occasion on which a reference is made to a reported decision, eg '*KS v Secretary of State for Work and Pensions (JSA)* [2009] UKUT 122 (AAC); [2010] AACR 3 or *KS v SSWP (JSA)* [2009] UKUT 122 (AAC); [2010] AACR 3'.

#### *The Publication of Reported Commissioners’ and AAC Decisions*

Reported decisions of Commissioners in Great Britain from 1991 (and many unreported decisions) and reported decisions of the AAC may be downloaded from the AAC web pages <http://www.osspsc.gov.uk/Decisions/decisions.htm>.

Northern Ireland reported decisions from 1978 (and many unreported decisions) may be downloaded from the website of the Department for Social Development at <https://www.dsdni.gov.uk/services/northern-ireland-digest-case-law>.

Bound volumes of reported decisions have been published by The Stationery Office (formerly HMSO) since 1948, Great Britain decisions and Northern Ireland decisions being published separately until 1999.

John Bourne and Maggie Phelps, Legal Information Officers at the London office of the AAC, have prepared the text of the decisions for publication in this volume. They are grateful for help received from the AAC Registrars.

## **APPENDIX 1**

### **PART 1**

#### **GUIDELINES FOR REPORTING**

##### **Why decisions are reported**

The key reasons why decisions are reported are that they (i) contribute to the coherent development or operation of the law or (ii) give practical guidance to decision-makers or appeal tribunals.

##### **Decisions of single Upper Tribunal Judges**

Whether a particular decision should be reported is based on these criteria –

- if it is of value as a precedent. In determining this, relevant factors include: whether the decision decides an issue for the first time; whether it modifies a reported decision; whether the decision resolves a conflict or settles a doubtful point; whether it has been overtaken by amendments to legislation; and the number of cases in which it is likely to be relevant.
- if it extends existing principles to new areas of the Upper Tribunal Judges' jurisdiction.
- for comments that are not essential to the decision but contribute to the coherent development of the law.
- as an illustration of how the law applies if the issue commonly arises and there is no other reported decision or a further reported decision would be useful.
- if it gives practical guidance to decision-makers or appeal tribunals.

A decision of a single Upper Tribunal Judge sitting alone or with members of the Upper Tribunal will not be reported unless it commands the broad assent of the majority of the salaried Upper Tribunal Judges of the Chamber who regularly determine appeals in the jurisdiction to which the decision relates or which engage the issues that merit the decision being reported.

Naturally, such assent does not mean that a decision will be reported rather than highlighted or simply published on the AAC website or elsewhere and many unreported decisions command that assent.

##### **Decisions of Two or Three Judge Panels of Upper Tribunal Judges**

A decision of a Two or Three Judge Panel will be considered for reporting using the same criteria as applied to the decision of a single Judge, save that the Editorial Board will also have regard:

(i) to the number of Judges who sat on the appeal; (ii) to the subject matter of the appeal and (iii) to paragraph 3(a) of, and to analogous provisions in, the Practice Statement by the Senior President of Tribunals on the "Composition of Tribunals in relation to matters that fall to be decided by the Administrative Appeal Chamber of the Upper Tribunal on or after November 2008."

A decision of a Three Judge Panel will normally be reported and it should be highlighted if it is not.

### **Court judgments**

The criteria for reporting Court judgments are that (i) they satisfy the criteria for reporting a decision by a single Upper Tribunal Judge, except the broad assent of the relevant Upper Tribunal Judges and (ii) deal with an area of law within the Upper Tribunal Judges' jurisdiction. Normally they will not be reported if they deal with other areas of law, even if they relate to the Upper Tribunal Judges' jurisdiction.

Judgments on permission to appeal are only reported if they contain useful analysis.

### **Editing**

In some rare cases, it may be appropriate for a case to be edited so that not all paragraphs appear in the reported version. If so, this will be indicated in the report and a full copy of the original decision will be available on our website.

## **PART 2**

### **GUIDELINES FOR HIGHLIGHTING**

#### **Why decisions are highlighted**

The key reasons why decisions are highlighted are that having regard to the guidelines for reporting they are of current general interest or importance or should for other reasons be brought to the attention of the public.

If a highlighted decision conflicts with an earlier reported or unreported decision, the fact that it is not (or is not yet) reported should not be taken as an indication that the majority of the relevant Upper Tribunal Judges broadly agree or disagree with it.

**Editorial Board June 2006 (updated December 2009, September 2010 and December 2013)**

## **APPENDIX 2**

Letters used in file numbers of Social Entitlement and War Pensions and AFCS cases to indicate type of case (unreported and reported decisions)

- A Attendance allowance
- AF War pensions and the armed and reserve forces compensation scheme
- CR Compensation recovery
- CS Child support
- CTF Child trust fund
- DLA Disability living allowance
- DWA Disability working allowance
- E Employment and support allowance
- F Family allowance (now child benefit)
- FC Family credit
- FG Forfeiture – general (bereavement benefit and widow's benefit)

FP	Forfeiture – pension (retirement pension)
G	General (bereavement benefit, carer’s allowance, child’s special allowance, death grant, guardian’s allowance, invalid care allowance, maternity benefit and widow’s benefit, including forfeiture cases before 2003)
H	Housing benefit and council tax benefit
HR	Home responsibilities protection
I	Industrial accidents and diseases and industrial injuries benefits (injury benefit, disablement benefit, reduced earnings allowance and industrial death benefit)
IB	Incapacity benefit
IS	Income support and social fund payments
JSA	Jobseeker’s allowance
M	Mobility allowance
P	Pension (retirement pension, including forfeiture cases before 2003)
PC	Pension credit
S	Sickness benefit, invalidity benefit and severe disablement allowance
SB	Supplementary benefit
SSP	Statutory sick pay
TC	Tax credits
U	Unemployment benefit

### APPENDIX 3

#### Names of cases

From 2010 a “flag”, indicating the subject matter of a decision, will be included at the end of the name of the decision. In benefit cases, this will indicate the type of benefit in issue but will use standard forms of abbreviations rather than AAC file references.

The standard flags for SEC, SEN, WP&AFCS appeals and judicial reviews will be –

<i>Flag</i>	<i>Subject</i>
AA	Attendance allowance
AFCS	Armed Forces Compensation Scheme
BB	Bereavement benefit (incl widowed parent’s allowance)
CA	Carer’s allowance
CHB	Child benefit
CIC	Criminal injuries compensation
CR	Compensation recovery: social security benefits
CR: NHS	Compensation recovery; NHS charges



Credits	Credits
CSM	Child support maintenance
CTB	Council tax benefit (by itself)
DLA	Disability living allowance
Enforcement reference	Reference to the Upper Tribunal by the First-tier Tribunal of a failure to comply with the First-tier Tribunal's order
ESA	Employment and support allowance
GA	Guardian's allowance
GRB	Graduated retirement benefit
HB	Housing benefit (or housing benefit with CTB)
HRP	Home responsibilities protection
IB	Incapacity benefit
II	Industrial injuries
IS	Income support
JR	Judicial review
JSA	Jobseeker's allowance
MA	Maternity allowance
PIP	Personal independence payment
Review	Review
RP	Retirement pension
SEN	Special educational needs
SF	Social fund
SPC	State pension credit
TC	Tax credit
UC	Universal credit
VDP	Vaccine damage payment
WB	Widow's benefit (incl widowed mother's allowance)
WP	War pension

The flag will appear in brackets at the end of the case name. Thus, an income support case will be cited as, say: *AB v Secretary of State for Work and Pensions (IS)* [2010] UKUT 123 (AAC).

Other flags may be used for decisions as required.