
Secretariat memorandum

Agenda item 6
CA036
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Casework performance report

1 Purpose of report

- 1.1 To record the performance of London TravelWatch's casework team in the period October to December 2009.

2 Information

- 2.1 Part 1 records performance against the turn round targets set in the Business Plan for the period from October to December 2009. This is the first reporting period using the new database and encompasses a period when caseworkers were being trained to use the new casework database and for a short period operating two systems in tandem. As a result, the reporting process has both taken longer to complete and more auditing has been required. In addition, this is the first quarterly report as previously much of this data was provided on a six-monthly basis.
- 2.2 Part 2 analyses issues received by operator for the period from October to December 2009.
- 2.3 Part 3 provides a performance update on the number of cases open on the database as of 4 March 2010 and their status.

3 Equalities and inclusion implications

- 3.1 Due account will be taken whenever any such implications arise from cases brought to the attention of London TravelWatch.

4 Legal powers

- 4.1 Section 248 of the Greater London Authority Act 1999 places upon London TravelWatch (as the London Transport Users Committee) a duty to consider – and, where it appears to it to be desirable, to make representations with respect to – any matter affecting the services and facilities provided by Transport for London which relate to transport (other than freight) and which have been the subject of representations made to it by or on behalf of users of those services and facilities. Section 252A of the same Act (as amended by Schedule 6 of the Railways Act 2005) places a similar duty upon it in respect of representations received from users or potential users of railway passenger services provided wholly or partly within the London railway area.

5 Financial implications

- 5.1 There are no specific financial implications for London TravelWatch arising from this report.

6 Recommendation

- 6.1 That the report is received for information.

Part 1: Case handling (October to December 2009)

Purpose of report

To record the proficiency of London TravelWatch and of the relevant transport operators in dealing with appeals cases received and referred during the period October to December 2009. The report covers cases received up to and including 31 December 2009. This was the first period using the new CRM database, although some cases received prior to that date but were ongoing during the period continued to be on the Charter database.

Target One

This target requires the Casework Team to acknowledge all newly received appeal cases and record them in its database within five working days. Cases which are dealt with directly, as opposed to being referred to an operator, are recorded under Target 5. The exception is those cases which are responses to consultations where we decide to acknowledge the case as a full response cannot be sent prior to the end of the consultation and/or a decision by the Board. The table below shows the performance achieved during the period under review, together with that in the preceding six months (*in italics*).

During the reporting period, 97.5% of cases were acknowledged within five working days, and 99% were acknowledged within 10 working days. This represents a continued improvement over the previous period, and reflects changes in procedures to enable us to meet this target. In particular, the new database automatically acknowledges new emails and web forms and provides a reference number and complaints by letter are acknowledged by the casework team support officers as they arrive.

The number of appeal cases received was more typical for a three month period. The previous period included a large number of additional acknowledgements linked to the proposed changes to First Capital Connect's proposed changes to booking office hours.

Working days Elapsed	October to December 2009		<i>April to September 2009</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	197	97.5%	<i>534</i>	<i>96.4%</i>
Days 6-10	3	1.5%	<i>16</i>	<i>2.9%</i>
Days 11-20	2	1.0%	<i>2</i>	<i>0.4%</i>
Days 21+	0	0.0%	<i>2</i>	<i>0.4%</i>
Total	202	100.0%	<i>554</i>	<i>100.0%</i>

Target Two

This target requires the Casework Team to refer 75% of all newly received cases to the relevant operator for attention within five working days, and 100% within 10 working days. The table below shows the performance achieved during the period under review, together with that in the preceding six months (*in italics*).

During the period, 75.1% of cases were referred to operators within five working days, compared with 74.8% during the period from April to September last year. In addition, 89.1% were referred to the relevant operator within 10 working days, compared with 90.8% during the first half of the year.

Working days Elapsed	October to December 2009		<i>April to September 2009</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	145	75.1%	333	74.8%
Days 6-10	27	14.0%	71	16.0%
Days 11-20	15	7.8%	31	7.0%
Days 21+	6	3.1%	10	2.2%
Total	193	100.0%	445	100.0%

Target Three

This target, agreed with the transport operators, requires them to respond to 66% of referrals from London TravelWatch within 10 working days, and to 100% within 20 working days. The report on this target has been provided in overall terms rather than separately for Transport for London and National Rail due to time constraints. It is hoped that a more detailed picture can be provided for the next quarter's report.

Working days elapsed	October to December 2009	
	No of cases	% of cases
Days 0-10	61	34.7%
Days 11-20	37	21.0%
Days 21-40	40	22.7%
Days 41+	38	21.6%
Total	193	100.0%

During the period, 55.7% of responses were received within 20 working days. The proportion of cases waiting more than 41 days for a response was 21.6%.

Target Four

This target requires 90% of final replies to be written with ten days of receipt and 100% within 20 days of the operators' response. Where there has been more than one response from an operator, the target is based on when the caseworker considers that an acceptable response has been provided.

The table shows the performance achieved during the period under review, with that in the preceding six months (*in italics*).

Working days elapsed	October to December 2009		<i>April to September 2009</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	135	78.5%	<i>329</i>	<i>76.7%</i>
Days 11-20	19	11.0%	<i>45</i>	<i>10.5%</i>
Days 21-40	10	5.8%	<i>38</i>	<i>8.9%</i>
Days 41+	8	4.7%	<i>17</i>	<i>4.0%</i>
Total	172	100.0%	<i>429</i>	<i>100.0%</i>

There was a small improvement in performance against target compared with the last period. During this period, final responses to 78.5% of cases were sent within 10 working days and 89.5% of cases within 20 working days (as compared with 76.7% and 91.9% respectively in the last period).

Target Five

Target 5 applies to cases which are dealt with direct by London TravelWatch, without referral to the operator. These cases are usually those where the facts are clear, our policy is well established, and referral to the operator would add no value. The main issue raised during this period was the Southeastern's timetable changes and particularly their impact on services from Blackheath. As a result, the volume of cases dealt with direct was significantly higher during this period.

For those cases which we are able to provide a response at the time of receipt, the target is based upon the number of working days from receipt of the case to final reply. For those cases, which are the subject of a consultation exercise, the target is based upon the number of working days from the end of the consultation period or when a decision has been made by the Board to when a final reply was provided, whichever is the latter. We consider that, in this way, this provides a true reflection of the performance of the casework team on these issues.

The table shows the performance achieved during the period under review, together with that in the preceding six months (*in italics*).

Working days elapsed	October to December 2009		<i>April to September 2009</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	253	87.5%	311	94.8%
Days 11-20	28	9.7%	8	2.4%
Days 21-40	4	1.4%	4	1.2%
Days 41+	4	1.4%	5	1.5%
Total	289	100.0%	328	100.0%

As can be seen, the number of cases increased dramatically over the previous period. The proportion of cases receiving a final response within 10 working days declined from 94.8% to 87.5%, while the proportion receiving a final response within 20 working days remained unchanged at 97.2%.

Part 2: Issues by operator

Purpose of report

To record the volume of casework received during the period October to December 2009. A total of 2704 cases were opened on the database which generated 2801 complaints. Of these, 1819 were enquiries and 395 were initials and were signposted or forwarded to the relevant operator for action.

The remainder were either taken up with the relevant operator on behalf of the complainant or were responded to direct. A full breakdown of the casework by operator is provided below.

Issues	October to December 2009
Enquiries	1819
Initial cases	395
Appeal cases	282
Direct cases	299
Member cases	1
Officer cases	5
Number of complaints	2801

Count of Operator	Case Type						Grand Total
	Appeal	Direct	Enquiry	Initial	Member	Officer	
Arriva - The Original London Sightseeing Tour			1				1
Arriva The Shires			1				1
Arriva Trains Wales			1				1
ATOC	1	1	1	3			6
British Transport Police			1				1
Bus Users UK		2	2	3			7
C2C Rail	3		31	2			36
Chiltern Railways	5		2	5			12
Congestion Charging	1		2	1			4
Department for Transport		1	2	1			4
Dial-a-Ride	1		25	7			33
Docklands Light Railway	9	1	71	6			87
East Coast Main Line				1			1
East Midlands Trains	4	2	5	1			12
Eurostar	9	3	14	10			36
First Beeline (Slough)			1				1
First Capital Connect	31	45	133	67			276
First Great Western	2	2	2	2			8
Heathrow Express	1			2			3
Imperial			1				1
Independent Appeals Service (IAS)	5	7	8	5			25
IPFAS	14	20	43	19			96
London and Continental	2	1	3				6
London Borough of Camden			1				1
London Borough of Croydon		1					1
London Borough of Haringey				1			1
London Buses	32	12	985	60			1089
London Buses Customer Services Centre			29	1			30
London Councils			1				1
London Midland	6		5	1			12
London Overground	1	1	9	11		2	24
London TravelWatch		3	1				4
London Underground	32	8	40	28	1	1	110
London United			1				1
National Express			1				1
National Express East Anglia	11	3	40	20			74
National Express East Coast		1	4	1			6
National Rail Enquiries		1	134	4			139
Network Rail	4	2	4	6		1	17
Oyster Helpline	8	2	17	8			35
Passenger Focus		1	3	11			15
Public Carriage Office		1	4	1			6
RPSS	4	2		2			8
South West Trains	10	4	15	19			48
Southeastern		1		3			4
Southeastern Railway	24	152	16	19			211

Count of Operator	Case Type						Grand Total
	Appeal	Direct	Enquiry	Initial	Member	Officer	
Southern	23	8	16	17			64
Stena Sealink			1				1
TFL Public Carriage Office	1						1
Transport for London	31	9	102	35		1	178
Transport for London River Services			4				4
Transport for London Streets		1	4	4			9
TubeDale Test Organisation		1					1
Victoria Coach Station			3	2			5
Virgin Trains	7		29	6			42
(blank)							
Grand Total	282	299	1819	395	1	5	2801

Part 3: Performance Update

As at 4 March 2010, the number of cases open on the casework database was 328. Of these, 108 were awaiting an operators' response and 21 were awaiting further correspondence from the complainant.

The number of new direct cases awaiting action was higher due to a campaign to save the N213 bus route.

Count of Case Stage						Grand Total
	Appeal	Direct	Enquiry	Initial	Officer	
Awaiting operators' response	96	3		6	3	108
Awaiting referral	13			1		14
Awaiting response from complainant	16		1	4		21
Case Received	6	98	28	6		138
Escalated	3					3
Under Consideration	16	19	2	3	2	42

Annex A: Case Types and Stages

Case Type	Explanation
Appeals	Cases we take up on behalf of the complainant. We refer these to the appropriate operator(s) and consider the response we receive from them.
Consultation	Cases that are subject to consultation. For example, cases received as part of the proposed changes to booking office hours by First Capital Connect where we would respond once a Board decision has been made.
Direct cases	Cases where we respond directly to a complaint, without going to the operator, either because we know the answer, have already got an agreed policy on the issue or we have no remit e.g. penalty fare cases which have followed the correct procedure.
Enquiries	These are requests for information, and are dealt with primarily by telephone. For many enquiries, we act as a signpost informing complainants who the most appropriate operator is to deal with their complaint or request for information or to register a lost property request.
Initials	Cases which have not yet been dealt with by the appropriate transport company. We pass to the appropriate operator and inform the complainant that we have done so
Members	Cases raised on behalf of London TravelWatch members
Officers	Cases raised on behalf of London TravelWatch officers

Case Stage	Explanation
Awaiting operators' response	Cases which are awaiting a response from the operator
Awaiting referral	New cases which await referral
Awaiting response from complainant	A request for further information has been sent to the complainant
Case Received	New cases awaiting action.
Escalated	Cases which have been escalated to a higher level with an operator, to a regulatory body or to a committee
Under Consideration	Direct cases awaiting a response or appeal cases where an operators' response has been received
Blank	Cases requiring classification