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## Secretariat memorandum

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Agenda item  
CAC003  
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### Casework report

#### 1 Purpose of report

- 1.1 To record the performance of London TravelWatch's Casework Team in the period October to December 2010.

#### 2 Performance reports

- 2.1 This report covers the period from October to December 2010. The number of appeal and direct cases decreased over the last quarter, the number of initial cases was broadly unchanged, and the number of enquiries increased. Performance over the period was broadly similar to the last period, although there was a deterioration in response times by Transport for London.
- 2.2 Part 1 records performance against the turn round targets set in the Business Plan for the period from October to December 2010. The graphs show comparative performance against these targets since July 2007 when these current targets were adopted.
- 2.3 Part 2 analyses issues received by operator for the period from October to December 2010.
- 2.4 Part 3 provides a performance update on the number of cases open on the database as of 1 March 2011 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.

## **6 Financial implications**

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

## **7 Recommendation**

- 7.1 That the report is received for information.

## Part 1: Case handling (October to December 2010)

### 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 2010. The report covers cases received up to and including 31 December 2010.

### 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 quarter (*in italics*).

During the reporting period, 99.6% of cases were acknowledged within five working days. This is virtually unchanged from the previous period, and affirms our view that we now have robust procedures in place to ensure cases get acknowledged quickly. While emails are automatically acknowledged, we ensure that cases that are in letter or fax form or originate from Passenger Focus are acknowledged the same day by a Casework Assistant.

Working days Elapsed	October to December 2010		<i>July to September 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	247	<b>99.6%</b>	333	<b>99.7%</b>
Days 6-10	0	0.0%	0	0.0%
Days 11-20	1	0.4%	1	0.3%
Days 21+	0	0.0%	0	0.0%
Total	248	100.0%	334	100.0%

## 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 quarter (*in italics*).

During the period, October to December 2010, the target for referring cases within five working days was exceeded with 96.2% of cases referred to operators within five working days, which is marginally lower than the previous quarter.

In addition, 98.3% were referred to the relevant operator within 10 working days, compared with 99.4% during the previous quarter.

Working days Elapsed	October to December 2010		<i>July to September 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	226	<b>96.2%</b>	332	<b>98.2%</b>
Days 6-10	5	<b>2.1%</b>	4	<b>1.2%</b>
Days 11-20	4	1.7%	1	0.3%
Days 21+	0	0.0%	1	0.3%
Total	235	100.0%	338	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. It is accepted that in some complex cases it may not always be possible to meet these deadlines, and in these cases we expect to receive a holding response from an operator followed by regular updates on progress. Performance to this target relates to the substantive response from the operator rather than the holding response.

The tables show the performance achieved during the period under review.

<b>NATIONAL RAIL</b>				
Working days elapsed	October to December 2010		<i>July to September 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	88	<b>69.8%</b>	106	<b>77.4%</b>
Days 11-20	24	<b>19.0%</b>	9	<b>6.6%</b>
Days 21-40	10	7.9%	14	10.2%
Day 41+	4	3.2%	8	5.8%
<b>Total</b>	<b>126</b>	<b>100.0%</b>	<b>137</b>	<b>100.0%</b>

Some 88.9% of responses were received within 20 working days, which represents an improvement on the last period. The number of cases waiting more than 41 days for a response declined to 3.2% of cases.

<b>TRANSPORT for LONDON</b>				
Working days elapsed	October to December 2010		<i>July to September 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	31	<b>26.5%</b>	48	<b>35.3%</b>
Days 11-20	27	<b>23.1%</b>	43	<b>31.6%</b>
Days 21-40	40	34.2%	32	23.5%
Day 41+	19	16.2%	13	9.6%
<b>Total</b>	<b>117</b>	<b>100.0%</b>	<b>136</b>	<b>100.0%</b>

The proportion of cases dealt with by Transport for London within 20 working days was 49.6%, which was a significant deterioration over the previous period. The number of cases taking over 41 days was also higher at 16.2%.

### **Breakdown of response times by operator**

The following table shows the average time taken by each operator to respond to appeal cases. Most operators are responding to cases within 20 working days. For those operators giving rise to relatively few cases, the average response time should be treated with caution, as a delay in responding to a single case may significantly affect the average. This table records only substantive replies and does not include holding responses.

<b>OPERATORS' RESPONSE TIMES</b>			
Operator	October to December 2010		July to September 2010
	Number of appeal cases	Average number of working days	Average number of working days
ATOC	0	-	n/a
BTP	0	-	n/a
c2c	0	-	26.7
Chiltern	1	16.0	3.7
CrossCountry	1	1.0	1.0
Department for Transport	1	9.0	n/a
East Coast	3	1.3	1.0
East Midlands Trains	2	9.5	2.0
Eurostar	5	1.6	2.9
First Capital Connect	22	7.5	8.9
First Great Western	4	10.0	6.0
Heathrow Express	0	-	41.5
Hull Trains	0	-	n/a
IAS	4	1.0	2.8
IPFAS	2	0.5	0.5
London Midland	1	1.0	4.7
London Overground	4	9.3	6.4
National Express East Anglia	11	7.8	8.5
National Rail Enquiries	3	1.7	n/a
Network Rail	2	11.0	35.5
ORR	0	-	n/a
RPSS	0	-	n/a
ScotRail	0	-	n/a
Southeastern	23	8.4	10.7
Southern	22	20.3	13.0
South West Trains	15	4.1	9.3
Trainline	0	-	n/a
Virgin West Coast	4	4.8	8.0
TfL London Buses	31	21.5	17.7
TfL London Underground	30	23.4	21.8
TfL Roads & Streets	5	20.6	12.0
TfL Dial-a-Ride	2	41.0	28.0
Oyster	41	27.8	18.1
TfL Other (inc DLR, Taxicard)	4	3.3	8.5

## 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 quarter (*in italics*).

Working days elapsed	October to December 2010		<i>July to September 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	203	<b>93.5%</b>	276	<b>93.9%</b>
Days 11-20	7	<b>3.2%</b>	10	<b>3.4%</b>
Days 21-40	4	1.8%	4	1.4%
Days 41+	3	1.4%	4	1.4%
Total	217	100.0%	294	100.0%

During this period, final responses to 93.5% of cases were sent within 10 working days and 96.8% of cases within 20 working days (as compared with 93.9% and 97.3% 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.

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.

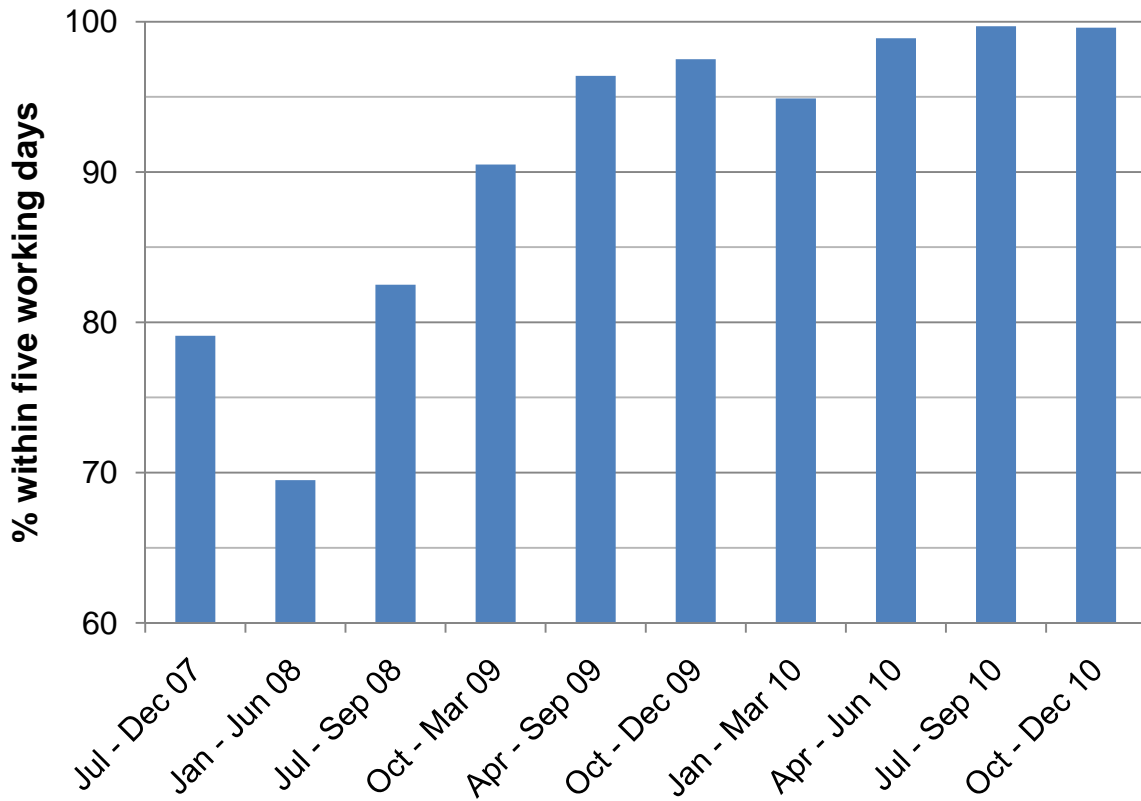
The table shows the performance achieved during the period under review, together with that in the preceding quarter (*in italics*).

Working days elapsed	October to December 2010		<i>July to September 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	126	<b>100.0%</b>	175	<b>99.4%</b>
Days 11-20	0	<b>0.0%</b>	1	<b>0.6%</b>
Days 21-40	0	0.0%	0	0.0%
Days 41+	0	0.0%	0	0.0%
Total	126	100.0%	176	100.0%

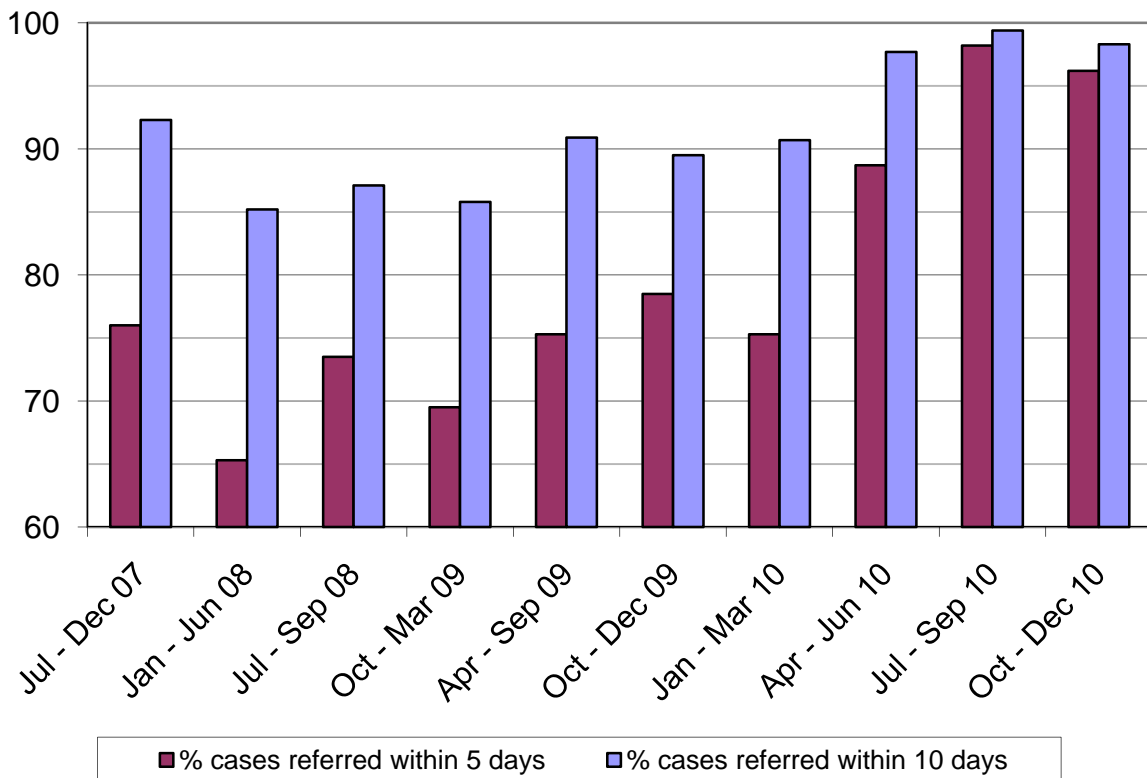
The period saw an improved level of performance, albeit that fewer direct cases were finalised. During this period, final responses to 100% of cases were sent within 10 working days (as compared with 99.4% in the last period).



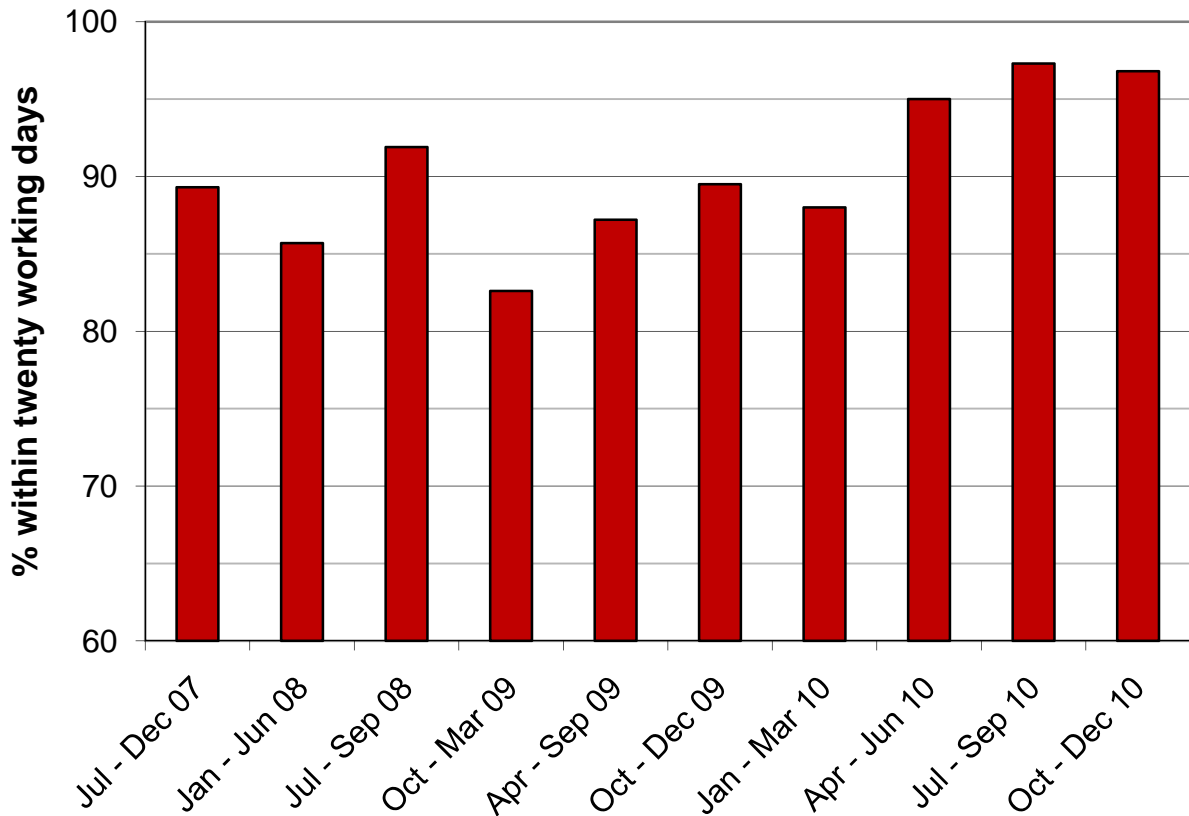
### Target One: Acknowledging cases received



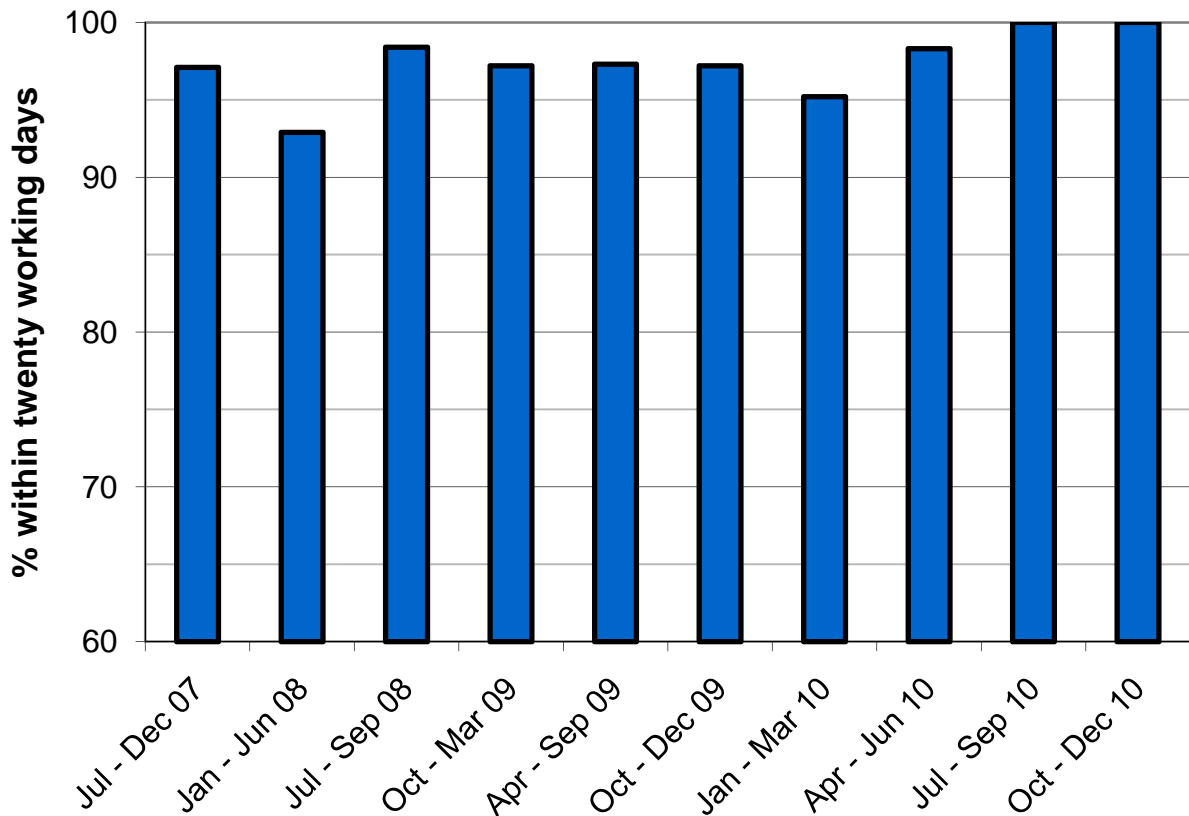
### Target Two: Referrals of cases to operators



### Targets Four: Final replies



### Targets Five: Direct replies



## Part 2: Issues by operator

### Purpose of report

To record the volume of casework received during the period October to December 2010. A total of 2,549 cases were opened on the database which generated 2,559 complaints (as compared to 2,460 cases and 2,516 complaints in the last quarter). Of these, 1,679 were enquiries and 277 were initials and were signposted or forwarded to the relevant operator for action.

The number of telephone enquiries increased by about 11% from the previous period. The number of enquiries relating to buses and National Rail Enquiries increased by 15% and 26% respectively, but the number relating to Docklands Light Railway halved. We consider that this is due to removing our telephone number from the NRES website and more proactive maintenance arrangements of DLR ticket machines.

While the number of initials and enquiries were lower, the number of appeals and directs were marginally higher than the last quarter. A full breakdown of the casework by operator is provided below.

Issues	October to December 2010
Enquiries	1,865
Initial cases	268
Appeal cases	273
Consultation cases	0
Direct cases	149
Member cases	1
Officer cases	3
Number of complaints	2,559

Operator	Case Type						Grand Total
	Appeal	Direct	Enquiry	Initial	Member	Officer	
Arriva Kent Thameside			2				2
Arriva London South			1				1
Arriva The Shires			1				1
ATOC	1		1				2
Bus Users UK			3	4			7
C2C Rail	1	1	16	2			20
Chiltern Railways	4	2	5	5			16
Congestion Charging			3	1			4
CrossCountry Trains	2		1				3
Department for Transport	1						1
Dial-a-Ride	2		12	3			17
Docklands Buses			1				1
Docklands Light Railway	1	2	19	5			27
East Coast	3	1	2	1			7
East Midlands Trains	2		1	1			4
Eurostar	4	4	5	3			16
First Beeline (Slough)			2				2
First Capital Connect	24	12	86	31			153
First Great Western	4	2	4	5			15
Heathrow Express			1				1
Independent Appeals Service (IAS)	4	5	3	4			16
IPFAS	4	10	2	3			19
London Assembly			1				1
London Borough of Bexley		1					1
London Borough of Tower Hamlets		1					1
London Buses	23	10	1141	41			1215
London Buses Customer Services Centre			2				2
London Councils		1	1				2
London Midland	2	1	8	1			12
London Overground	6		7	2			15
London TravelWatch		1	10				11
London Underground	28	11	26	19		1	85
Metroline	1		2				3
National Express East Anglia	12	2	21	13		1	49
National Rail Enquiries	3		157	1			161
National Railways Timetable			5				5
Network Rail	2	2	2	1			7
Oyster Helpline	20	10	26	19			75
Passenger Focus	2		7	8			17
Quality Line			1				1
South West Trains	19	7	7	9			42
Southeastern Railway	26	20	18	35			99
Southern	25	6	15	8			54
TfL London Taxi and Private Hire			1				1
Trainline		1					1
Tramtrack Croydon Limited		1	3				4
Transport for London	42	32	183	33	1	1	292
Transport for London River Services			1	2			3
Transport for London Streets	1	2	5	3			11
Victoria Coach Station			2	1			3
Virgin Trains	4	1	42	4			51
Grand Total	273	149	1865	268	1	3	2559

### Part 3: Performance Update

As at 1 March 2011, the number of incomplete cases open on the casework database was 170. Of these, 101 were awaiting an operators' response and 41 were awaiting further correspondence from the complainant.

<b>Count of Case Type</b>	<b>Column Labels</b>					<b>Grand</b>
<b>Row Labels</b>	<b>Appeal</b>	<b>Enquiry</b>	<b>Initial</b>	<b>Member</b>	<b>Officer</b>	<b>Total</b>
Awaiting operators' response	93	4	1	1	2	101
Awaiting response from complainant	31	4	6			41
Case Received	9	2	1			12
Escalated	1					1
Under Consideration	12	3				15
<b>Grand Total</b>	<b>146</b>	<b>13</b>	<b>8</b>	<b>1</b>	<b>2</b>	<b>170</b>

## Annex A: Case Types and Stages

<b>Case Type</b>	<b>Explanation</b>
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

<b>Case Stage</b>	<b>Explanation</b>
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