
Secretariat memorandum

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Agenda item 10
CAC010
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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 January to March 2011.

2 Performance reports

- 2.1 This report covers the period from January to March 2011. The number of appeal, direct and initial cases increased over the last quarter, while the number of enquiries decreased. Performance improved over the previous period, including overall response times of operators, although Network Rail and London Buses in particular still showed poor average response times.
- 2.2 Part 1 records performance against the turn round targets set in the Business Plan for the period from January to March 2011. 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 January to March 2011.
- 2.4 Part 3 provides a performance update on the number of cases open on the database as of 9 June 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 (January to March 2011)

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 January to March 2011. The report covers cases received up to and including 31 March 2011.

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, 100% of cases were acknowledged within five working days. This is a continuation of the good performance achieved on this target, 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	January to March 2011		<i>October to December 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	275	100.0%	<i>247</i>	<i>99.6%</i>
Days 6-10	0	0.0%	<i>0</i>	<i>0.0%</i>
Days 11-20	0	0.0%	<i>1</i>	<i>0.4%</i>
Days 21+	0	0.0%	<i>0</i>	<i>0.0%</i>
Total	275	100.0%	<i>248</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 quarter (*in italics*).

During the period, October to December 2010, the target for referring cases within five working days was exceeded with 99.3% of cases referred to operators within five working days, which is marginally lower than the previous quarter.

In addition, 99.3% were referred to the relevant operator within 10 working days, compared with 98.3% during the previous quarter.

Working days Elapsed	January to March 2011		<i>October to December 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	272	99.3%	226	96.2%
Days 6-10	0	0.0%	5	2.1%
Days 11-20	2	0.7%	4	1.7%
Days 21+	0	0.0%	0	0.0%
Total	274	100.0%	235	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.

NATIONAL RAIL				
Working days elapsed	January to March 2011		<i>October to December 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	118	75.2%	88	69.8%
Days 11-20	19	12.1%	24	19.0%
Days 21-40	11	7.0%	10	7.9%
Day 41+	9	5.7%	4	3.2%
Total	157	100.0%	126	100.0%

Some 87.3% of responses were received within 20 working days, which represents a small decline on the last period. The number of cases waiting more than 41 days for a response increased from 3.2% to 5.7% of cases.

TRANSPORT for LONDON				
Working days elapsed	January to March 2011		<i>October to December 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	48	45.7%	31	26.5%
Days 11-20	23	21.9%	27	23.1%
Days 21-40	17	16.2%	40	34.2%
Day 41+	17	16.2%	19	16.2%
Total	105	100.0%	117	100.0%

The proportion of cases dealt with by Transport for London within 20 working days was 67.6%, which was a significant improvement over the previous period. The number of cases taking over 41 days remained 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. We are confident that for response times for Southern and London Underground cases are improving, but we remain concerned about response times for London Buses' cases. 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.

OPERATORS' RESPONSE TIMES			
Operator	January to March 2011		October to December 2010
	Number of appeal cases	Average number of working days	Average number of working days
ATOC	0	-	n/a
BTP	0	-	n/a
c2c	1	2.0	n/a
Chiltern	1	1.0	16.0
CrossCountry	0	-	1.0
Department for Transport	0	-	9.0
Deutsche Bahn	1	4.0	n/a
East Coast	10	7.7	1.3
East Midlands Trains	1	6.0	9.5
Eurostar	6	4.0	1.6
First Capital Connect	31	5.7	7.5
First Great Western	9	8.8	10.0
Heathrow Express	0	-	n/a
Hull Trains	0	-	n/a
IAS	9	1.3	1.0
IPFAS	8	1.6	0.5
London Midland	2	7.5	1.0
London Overground	2	7.0	9.3
National Express East Anglia	9	5.8	7.8
National Rail Enquiries	1	1.0	1.7
Network Rail	4	35.8	11.0
ORR	1	15.0	n/a
RailEurope	1	0.0	n/a
RPSS	0	-	n/a
ScotRail	0	-	n/a
Southeastern	15	12.0	8.4
Southern	17	24.0	20.3
South West Trains	24	6.2	4.1
Trainline	2	2.0	n/a
Virgin West Coast	4	7.8	4.8
TfL London Buses	22	30.6	21.5
TfL London Underground	26	21.5	23.4
TfL Roads & Streets	2	2.0	20.6
TfL Dial-a-Ride	0	-	41.0
Oyster	50	16.1	27.8
TfL Other (inc DLR, Taxicard)	3	33.3	3.3

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	January to March 2011		<i>October to December 2010</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	228	96.2%	<i>203</i>	<i>93.5%</i>
Days 11-20	9	3.8%	<i>7</i>	<i>3.2%</i>
Days 21-40	0	0.0%	<i>4</i>	<i>1.8%</i>
Days 41+	0	0.0%	<i>3</i>	<i>1.4%</i>
Total	237	100.0%	<i>217</i>	<i>100.0%</i>

During this period, final responses to 96.2% of cases were sent within 10 working days and 100% of cases within 20 working days (as compared with 93.5% and 96.8% 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.

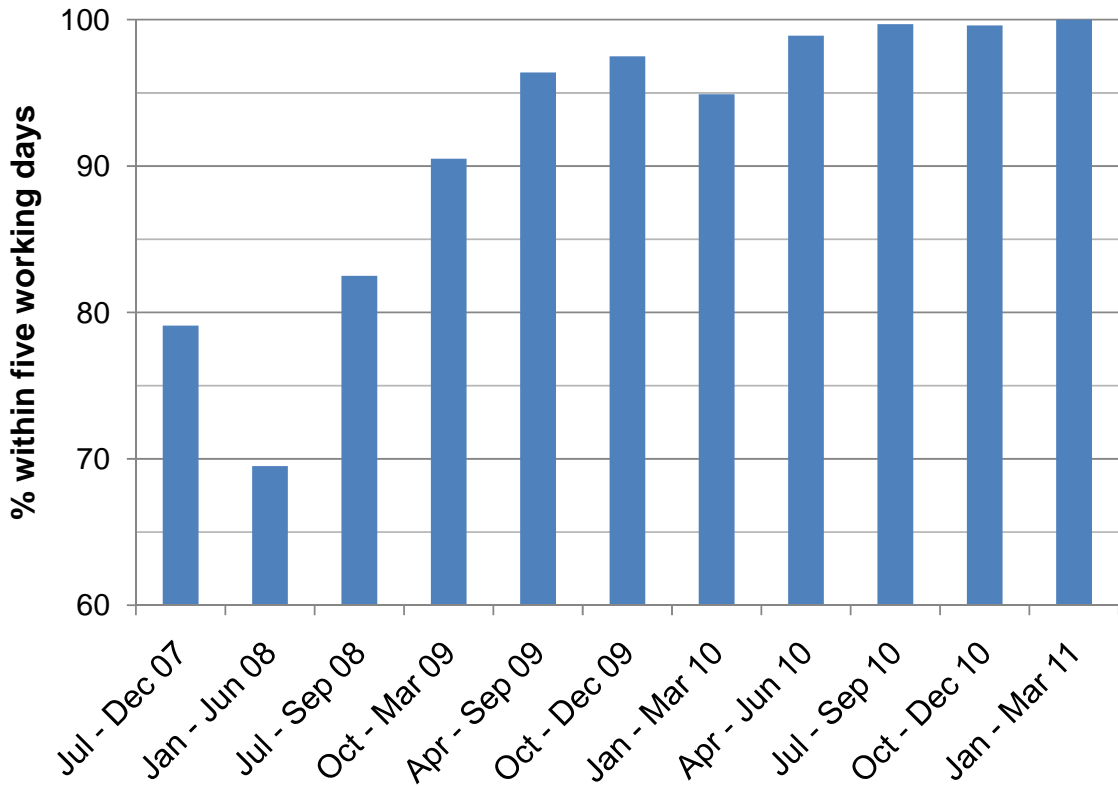
For those cases which we are able to provide a response at the time of receipt, the target is based upon the number of working days from receipt of the case to final reply. For those cases, which are the subject of a consultation exercise, the target is based upon the number of working days from the 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. During this period, we received a number of cases relating to booking office hours on London Midland.

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

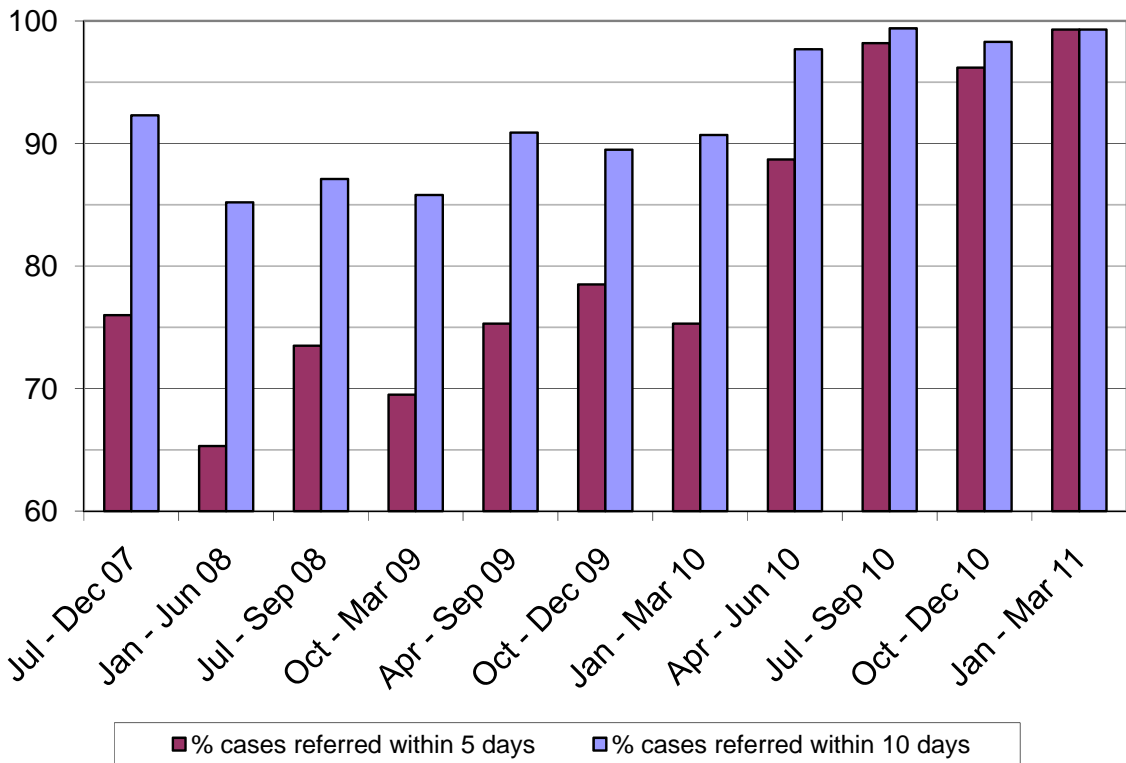
Working days elapsed	January to March 2011		October to December 2010	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	213	100.0%	126	100.0%
Days 11-20	0	0.0%	0	0.0%
Days 21-40	0	0.0%	0	0.0%
Days 41+	0	0.0%	0	0.0%
Total	213	100.0%	126	100.0%

The period saw an increase in the number of cases, and final responses were again sent to 100% of cases within 10 working days.

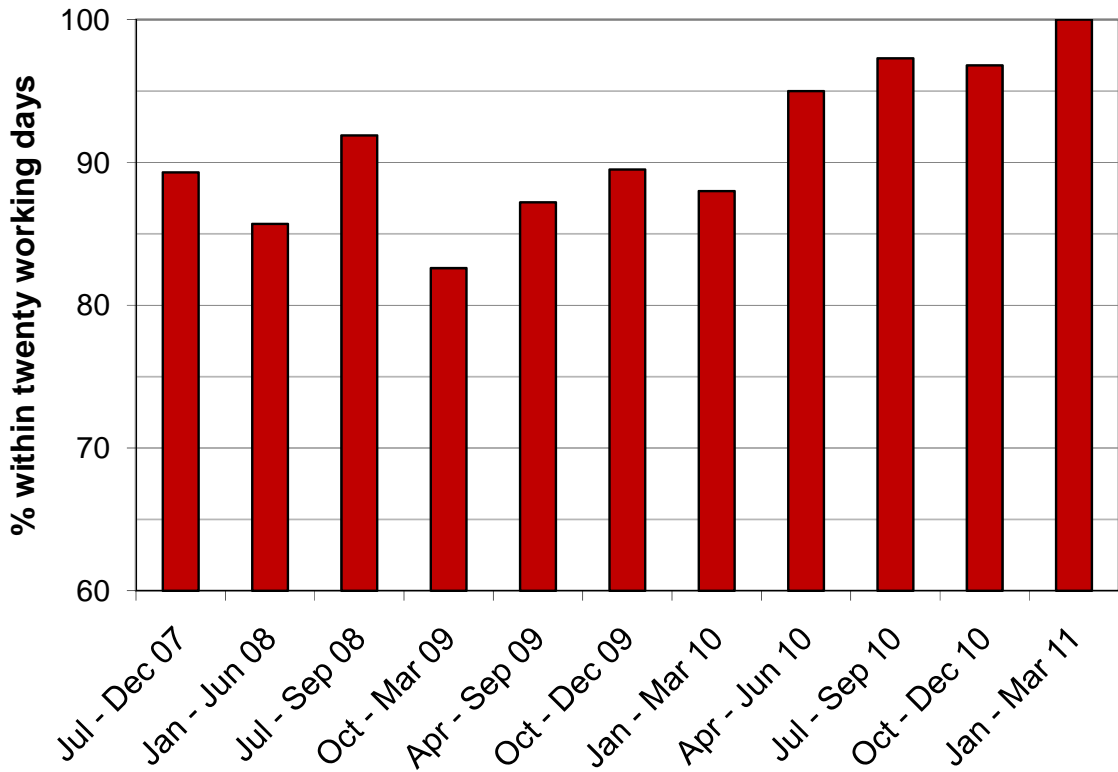
Target One: Acknowledging cases received



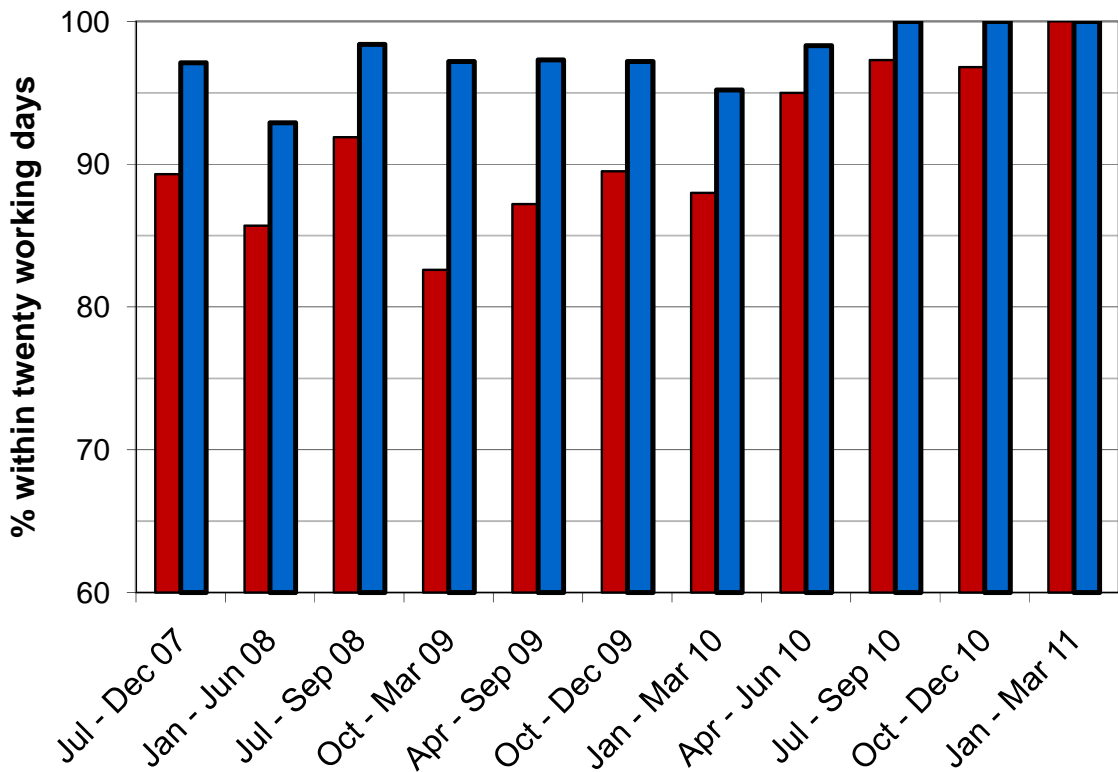
Target Two: Referrals of cases to operators



Target Four: Final replies



Target Five: Direct replies



Part 2: Issues by operator

Purpose of report

To record the volume of casework received during the period January to March 2011. A total of 2,288 cases were opened on the database which generated 2,337 complaints (as compared to 2,549 cases and 2,559 complaints in the last quarter). Of these, 1,448 were enquiries and 338 were initials and were signposted or forwarded to the relevant operator for action.

The number of initial cases received was 24% higher and the number of appeals was 19% higher than the previous period. The number of telephone enquiries decreased by about 28% from the previous period. The number of enquiries relating to buses decreased by 19%, while the number relating to National Rail Enquiries halved.

A full breakdown of the casework by operator is provided below.

Issues	January to March 2011
Enquiries	1,448
Initial cases	338
Appeal cases	326
Consultation cases	15
Direct cases	206
Member cases	3
Officer cases	1
Number of complaints	2,337

Count of Case Type	Case Type							Grand Total
	Appeal	Consultation	Direct	Enquiry	Initial	Member	Officer	
ATOC	1		1					2
C2C Rail	1			8	4			13
Chiltern Railways	2		3	3	5			13
Department for Transport					1			1
Deutsche Bahn	1							1
East Coast	10		2	3	4			19
East Midlands Trains	2		2	3				7
Eurostar	7		4		4			15
First Capital Connect	35		14	56	33	1		139
First Great Western	10		4	8	1			23
Grand Central Railway				1				1
Heathrow Express					1			1
Independent Appeals Service (IAS)	14		10	7	11			42
IPFAS	10		23	3	11			47
Local Government Ombudsman			1					1
London Midland	4	15			7			26
Megabus	1							1
National Express East Anglia	17		6	23	23			69
National Rail Enquiries	2		1	75	1			79
National Railways Timetable				1				1
Network Rail	5		1	1	2			9
Rail Business Travel	1							1
Rail Europe	2							2
South West Trains	26		19	5	6		1	57
Southeastern Railway	17		34	19	28	1		99
Southern	21		9	3	22			55
Trainline	3		1					4
Virgin Trains	4		1	25	7			37
London TravelWatch			6	7				13
Passenger Focus	4		1	11	13			29
Abellio Surrey				1				1
Arriva Kent Thameside				2				2
Bus Users UK					1			1
Congestion Charging				1	2			3
Dial-a-Ride	1			8	1			10
Docklands Light Railway	1		1	43	3			48
London Borough of Bexley				1				1
London Buses	18		5	964	34			1021
London Buses Customer Services Centre				1				1
London General				1				1
London Overground	3		2	8	2			15
London Tramlink				1				1
London Underground	22		9	21	17	1		70
National Express Coaches				1				1
Oyster Helpline	15		10	30	19			74
Stagecoach Oxford				1				1
TfL London Taxi and Private Hire	1							1
Transport for London	64		35	92	73			264
Transport for London London Mobility Unit				1				1
Transport for London River Services	1			2				3
Transport for London Streets			1	5	1			7
Victoria Coach Station				2	1			3
Grand Total	326	15	206	1448	338	3	1	2337

Part 3: Performance Update

As at 9 June 2011, the number of incomplete cases open on the casework database was 146. Of these, 89 were awaiting an operators' response and 37 were awaiting further correspondence from the complainant.

Count of Case Type	Column Labels							Grand Total
Row Labels	Appeal	Consultation	Direct	Enquiry	Initial	Member	Officer	Grand Total
Awaiting operators' response	75		1	9	2	1	1	89
Awaiting response from complainant	22			6	9			37
Case Received	3	2	1	10				16
Escalated				1				1
Under Consideration	1			2				3
Grand Total	101	2	2	28	11	1	1	146

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