
Secretariat memorandum

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Agenda item 11
CAC018
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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 April to June 2011.

2 Performance reports

- 2.1 This report covers the period from April to June 2011. As is often the case over the summer months, the number of cases received declined compared with the early part of the year, with the number of enquiries regarding bus services in particular declining reflecting the decision to remove our telephone number from buses. The excellent performance received in the previous period was maintained, although Transport for London's response times remained mixed.
- 2.2 Part 1 records performance against the turn round targets set in the Business Plan for the period from April to June 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 April to June 2011.
- 2.4 Part 3 provides a performance update on the number of cases open on the database as of 16 September 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 (April to June 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 April to June 2011. The report covers cases received up to and including 30 June 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 the Casework Assistant.

Working days Elapsed	April to June 2011		<i>January to March 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	254	100.0%	<i>275</i>	<i>100.0%</i>
Days 6-10	0	0.0%	<i>0</i>	<i>0.0%</i>
Days 11-20	0	0.0%	<i>0</i>	<i>0.0%</i>
Days 21+	0	0.0%	<i>0</i>	<i>0.0%</i>
Total	254	100.0%	<i>275</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, April to June 2011, the target for referring cases within five working days was exceeded with 98.9% of cases referred to operators within five working days, which is marginally lower than the previous quarter.

In addition, 100% were referred to the relevant operator within 10 working days, compared with 99.3% during the previous quarter.

Working days Elapsed	April to June 2011		<i>January to March 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	265	98.9%	272	99.3%
Days 6-10	3	1.1%	0	0.0%
Days 11-20	0	0.0%	2	0.7%
Days 21+	0	0.0%	0	0.0%
Total	268	100.0%	274	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	April to June 2011		<i>January to March 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	135	78.0%	118	75.2%
Days 11-20	14	8.1%	19	12.1%
Days 21-40	17	9.8%	11	7.0%
Day 41+	7	4.0%	9	5.7%
Total	173	100.0%	157	100.0%

Some 86.1% 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 decreased from 5.7% to 4.0% of cases.

TRANSPORT for LONDON				
Working days elapsed	April to June 2011		January to March 2011	
	No of cases	% of cases	No of cases	% of cases
Days 0-10	35	36.5%	48	45.7%
Days 11-20	26	27.1%	23	21.9%
Days 21-40	23	24.0%	17	16.2%
Day 41+	12	12.0%	17	16.2%
Total	96	100.0%	105	100.0%

The proportion of cases dealt with by Transport for London within 20 working days was 63.5%, which was a significant improvement over the previous period. The number of cases taking over 41 days decreased from 16.2% to 12.0% of cases.

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.

As stated in the previous report, we are pleased that the response times for Southern and London Underground cases have shown a continuing improvement. A meeting was held with London Buses on 15th September where we outlined our ongoing concerns regarding response times and we are hopeful that we should see some improvement in the coming months. 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	April to June 2011		January to March 2011
	Number of appeal cases	Average number of working days	Average number of working days
ATOC	3	1.0	n/a
BTP	0	-	n/a
c2c	2	36.0	2.0
Chiltern	2	15.0	1.0
CrossCountry	0	-	n/a
Department for Transport	0	-	n/a
Deutsche Bahn	0	-	4.0
East Coast	12	15.4	7.7
East Midlands Trains	4	2.5	6.0
Eurostar	3	0.0	4.0
First Capital Connect	24	5.9	5.7
First Great Western	7	5.4	8.8
Heathrow Express	2	0.0	n/a
Hull Trains	0	-	n/a
IAS	6	1.3	1.3
IPFAS	6	1.0	1.6
London Midland	6	10.8	7.5
London Overground	6	14.5	7.0
National Express East Anglia	10	18.0	5.8
National Rail Enquiries	2	2.0	1.0
Network Rail	1	71.0	35.8
ORR	0	-	15.0
RailEurope	0	-	0.0
RPSS	1	0.0	n/a
ScotRail	0	-	n/a
Southeastern	15	15.8	12.0
Southern	37	7.0	24.0
South West Trains	21	4.2	6.2
Trainline	3	3.7	2.0
Virgin West Coast	5	4.4	7.8
TfL London Buses	7	61.4	30.6
TfL London Underground	26	19.5	21.5
TfL Roads & Streets	4	8.3	2.0
TfL Dial-a-Ride	1	25.0	n/a
Oyster	49	16.2	16.1
TfL Other (inc DLR, Taxicard)	3	20.3	33.3

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	April to June 2011		<i>January to March 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	262	98.1%	228	96.2%
Days 11-20	5	1.9%	9	3.8%
Days 21-40	0	0.0%	0	0.0%
Days 41+	0	0.0%	0	0.0%
Total	267	100.0%	237	100.0%

During this period, final responses to 98.1% of cases were sent within 10 working days and 100% of cases within 20 working days (as compared with 96.2% and 100% 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.

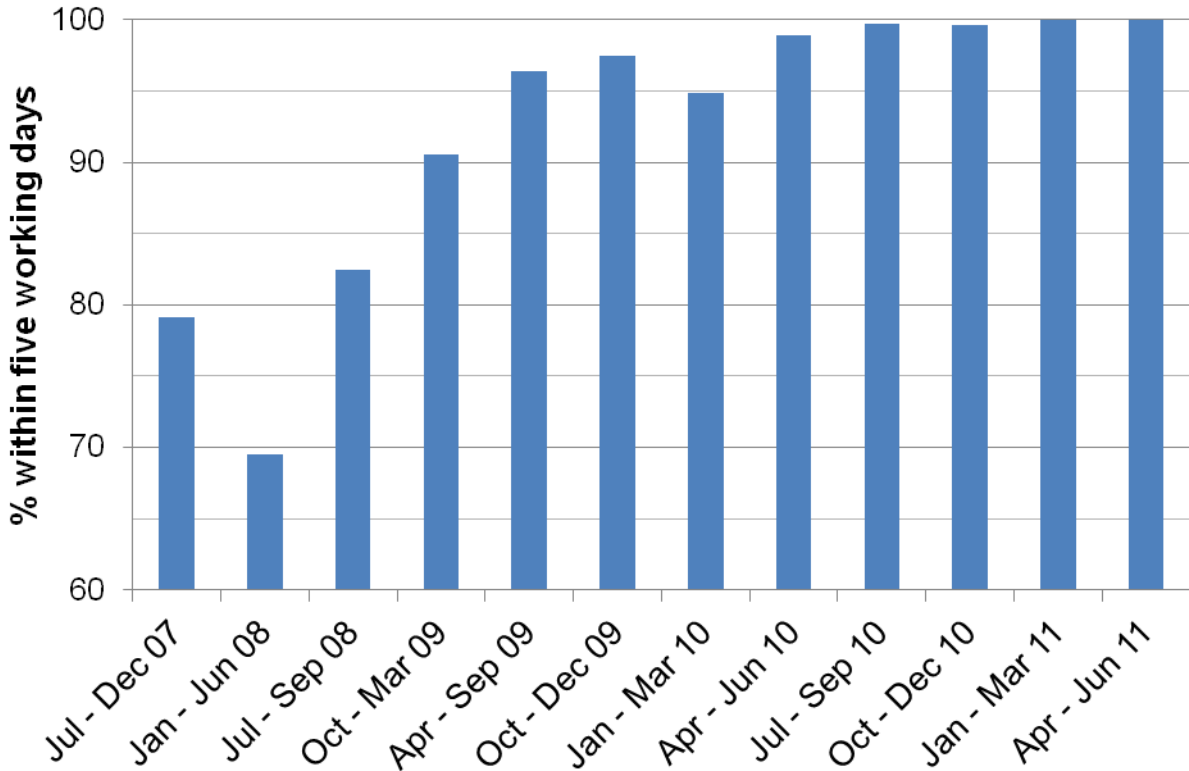
For those cases which we are able to provide a response at the time of receipt, the target is based upon the number of working days from receipt of the case to final reply. For those cases, which are the subject of a consultation exercise, the target is based upon the number of working days from the 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 six months (*in italics*).

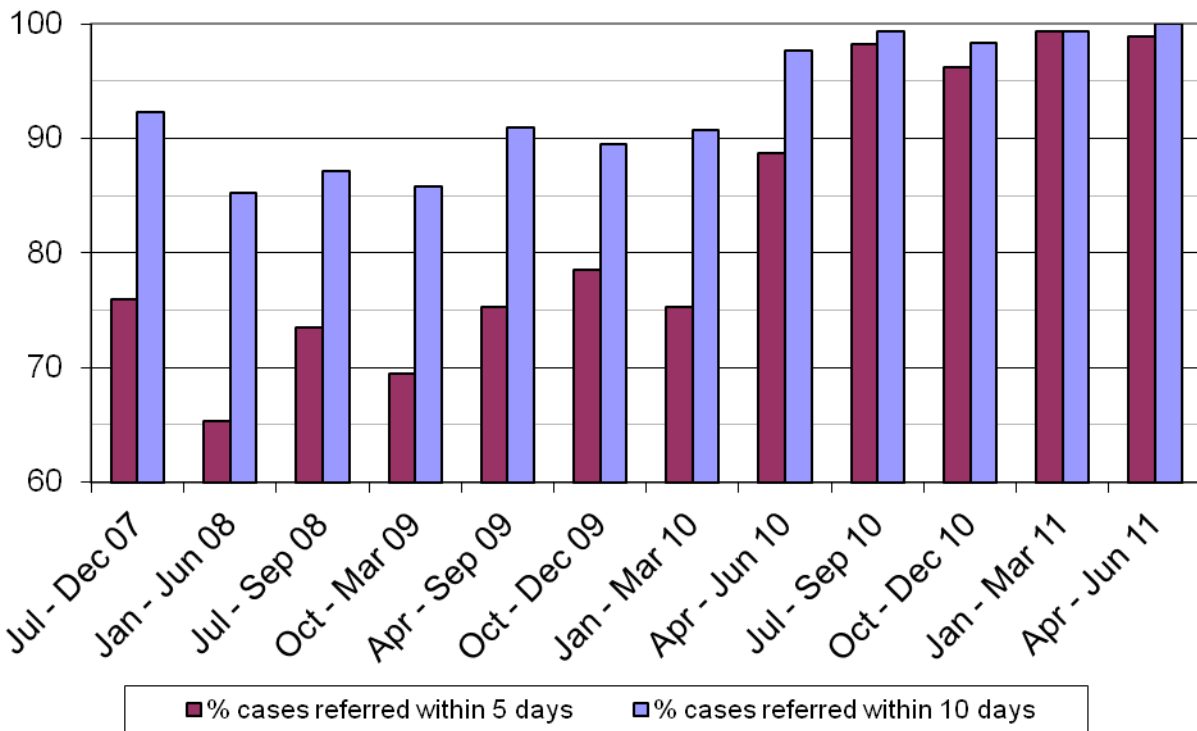
Working days elapsed	April to June 2011		<i>January to March 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	179	98.9%	213	100.0%
Days 11-20	2	1.1%	0	0.0%
Days 21-40	0	0.0%	0	0.0%
Days 41+	0	0.0%	0	0.0%
Total	181	100.0%	213	100.0%

The period saw a decrease in the number of cases, and final responses were sent to 98.9% of cases within 10 working days and 100% within 20 working days, which is within the current target.

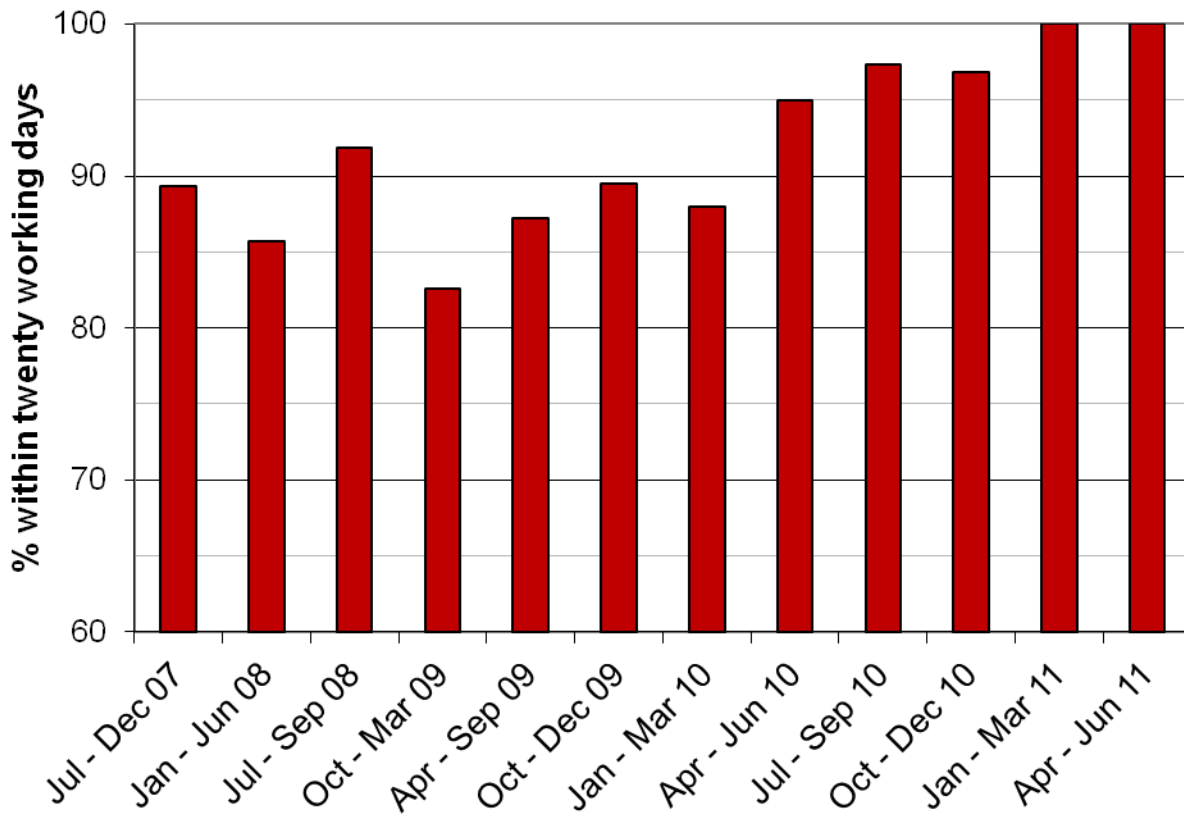
Target One: Acknowledging cases received



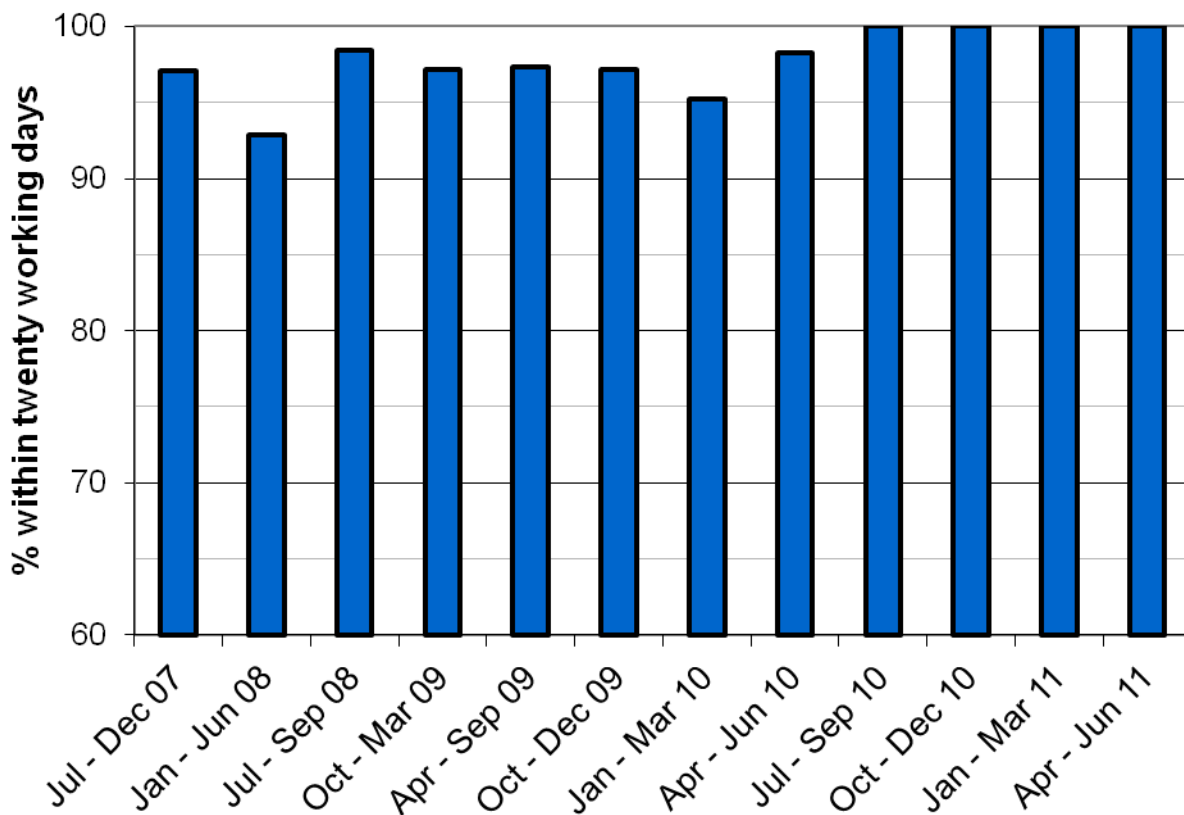
Target Two: Referrals of cases to operators



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 April to June 2011. A total of 1,875 cases were opened on the database which generated 1,911 complaints (as compared to 2,288 cases and 2,337 complaints in the last quarter). Of these, 1,122 were enquiries and 311 were initials and were signposted or forwarded to the relevant operator for action.

The number of enquiries decreased by 29% from the previous period. This decline is due to the telephone number being removed from the buses which led to over 300 fewer calls relating to bus issues being recorded. Initial cases were 8% lower and appeal cases 14 lower than the previous period.

A further table has been added to give more details about the Transport for London related cases. This reflects a request from members to know about the mode complained about where the operator has been listed as Transport for London. Members views are welcomed on this change to the report.

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

Issues	April to June 2011	January to March 2011
Enquiries	1,122	1,448
Initial cases	311	338
Appeal cases	286	326
Consultation cases	2	15
Direct cases	187	206
Member cases	0	3
Officer cases	3	1
Number of complaints	1,911	2,337

Count of Case Type	Case Type						Grand Total
	Appeal	Consultation	Direct	Enquiry	Initial	Officer	
Abellio Surrey				1			1
ATOC	4		1				5
Bus Users UK					1		1
C2C Rail	2		3	14	5		24
Chiltern Railways	3		6	5	1		15
City of Westminster			1				1
Congestion Charging	1						1
Crossrail			1				1
Department for Transport					1		1
Dial-a-Ride				17	3		20
Docklands Light Railway	1		2	28	5		36
East Coast	15		1	1	1		18
East Midlands Trains	5		1	4	1		11
Eurostar	4			2	2		8
First Capital Connect	22		12	39	17	1	91
First Great Western	7		1	5	2		15
Grand Central Railway			1				1
Heathrow Express	2		3		3		8
HM Railway Inspectorate	1						1
Independent Appeals Service (IAS)	5		5	1	4		15
IPFAS	5		14	1	1		21
Local Government Ombudsman			1				1
London Buses	6		26	717	89	1	839
London Buses Customer Services Centre				4			4
London Councils			1	1	2		4
London Midland	4		1	5	14		24
London Overground	9		4	2	3		18
London Tramlink	1		1				2
London TravelWatch			11	5	1		17
London Underground	29		13	17	37		96
National Express Coaches				2			2
National Express East Anglia	10		4	24	13		51
National Rail Enquiries	2			66			68
Network Rail	3			1	3		7
Oyster Helpline	13		5	26	9		53
Passenger Focus			1	6	8		15
Rail Europe					1		1
RPSS	3		1		3		7
South West Trains	26	2	13	4	9	1	55
Southeastern Railway	18		11	6	3		38
Southern	38		6	9	15		68
TfL London Taxi and Private Hire				1			1
Trainline	4				1		5
Transport for London	34		33	67	48		182
Transport for London London Mobility Unit				1			1
Transport for London River Services				1			1
Transport for London Streets			1	3			4
Uno				1			1
Victoria Coach Station				6	1		7
Virgin Trains	9		2	29	4		44
Grand Total	286	2	187	1122	311	3	1911

Count of Mode	Mode															Grand Total
Operator	Boat	Bus	Dial a Ride	DLR	Freedom Pass	LTW	Out of Remit	Oyster	Rail	Road	Taxi	TfL Policy	Tram	Underground	VCS	Grand Total
Abellio Surrey		1														1
City of Westminster										1						1
Congestion Charging										1						1
Crossrail									1							1
Dial-a-Ride			20													20
Docklands Light Railway				34				1						1		36
Independent Appeals Service		2							13							15
Local Govt Ombudsman										1						1
London Buses		839														839
London Buses Customer Services Centre		4														4
London Councils					3									1		4
London Overground									18							18
London Tramlink								1					1			2
London Underground								3						93		96
National Express Coaches							1								1	2
Oyster Helpline		2						50		1						53
TfL London Taxi and Private Hire											1					1
Transport for London	2	49			1		1	71		20	1	13		24		182
Transport for London London Mobility Unit			1													1
Transport for London River Services	1															1
Transport for London Streets		1								3						4
Uno		1														1
Victoria Coach Station		2													5	7
Grand Total	3	908	21	34	4	9	2	126	32	27	2	14	1	119	6	1308

Part 3: Performance Update

As at 16 September 2011, the number of incomplete cases open on the casework database was 156. Of these, 100 were awaiting an operators' response and 27 were awaiting further correspondence from the complainant.

Count of Case Type	Column Labels						Grand Total
Row Labels	Appeal	Consultation	Direct	Enquiry	Initial	Officer	Grand Total
Awaiting operators' response	90		2	6	1	1	100
Awaiting response from complainant	23			3	1		27
Case Received	5		2	9	1		17
Escalated		1		2			3
Under Consideration	9						9
Grand Total	127	1	4	20	3	1	156

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