
Secretariat memorandum

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Agenda item 8
CAC024
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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 July to September 2011.

2 Performance reports

- 2.1 This report covers the period from July to September 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 July to September 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 July to September 2011.
- 2.4 Part 3 provides a performance update on the number of cases open on the database as of 25 November 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 (July to September 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 July to September 2011. The report covers cases received up to and including 30 September 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	July to September 2011		<i>April to June 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	292	100.0%	<i>254</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	292	100.0%	<i>254</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, the target for referring cases within five working days was exceeded with 98.3% 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 100% during the previous quarter.

Working days Elapsed	July to September 2011		<i>April to June 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	283	98.3%	265	98.9%
Days 6-10	3	1.0%	3	1.1%
Days 11-20	1	0.3%	0	0.0%
Days 21+	1	0.3%	0	0.0%
Total	288	100.0%	268	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	July to September 2011		April to June 2011	
	No of cases	% of cases	No of cases	% of cases
Days 0-10	137	75.3%	135	78.0%
Days 11-20	23	12.6%	14	8.1%
Days 21-40	15	8.2%	17	9.8%
Day 41+	7	3.8%	7	4.0%
Total	182	100.0%	173	100.0%

Some 87.9% of responses were received within 20 working days, which represents a small improvement on the last period. The number of cases waiting more than 41 days for a response decreased from 4% to 3.8% of cases.

TRANSPORT for LONDON				
Working days elapsed	July to September 2011		April to June 2011	
	No of cases	% of cases	No of cases	% of cases
Days 0-10	41	38.0%	35	36.5%
Days 11-20	22	20.4%	26	27.1%
Days 21-40	33	30.6%	23	24.0%
Day 41+	12	11.1%	12	12.0%
Total	108	100.0%	96	100.0%

The proportion of cases dealt with by Transport for London within 20 working days was 58.3%, which was a decline on the previous period. The number of cases taking over 41 days declined marginally to 11.1%.

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.

OPERATORS' RESPONSE TIMES			
Operator	July to September 2011		April to June 2011
	Number of appeal cases	Average number of working days	Average number of working days
ATOC	3	4.0	1.0
BTP	0	-	n/a
c2c	2	1.5	36.0
Chiltern	3	9.0	15.0
CrossCountry	0	-	n/a
Department for Transport	0	-	n/a
Deutsche Bahn	0	-	n/a
East Coast	20	14.2	15.4
East Midlands Trains	3	1.0	2.5
Eurostar	2	0.5	0.0
First Capital Connect	20	3.3	5.9
First Great Western	11	12.1	5.4
Heathrow Express	1	0.0	0.0
Hull Trains	0	-	n/a
IAS	5	0.6	1.3
IPFAS	10	0.7	1.0
London Midland	3	8.3	10.8
London Overground	4	17.3	14.5
National Express East Anglia	10	20.0	18.0
National Rail Enquiries	1	10.0	2.0
Network Rail	1	10.0	71.0
ORR	0	-	n/a
RailEurope	2	0.0	n/a
RPSS	2	2.0	0.0
ScotRail	0	-	n/a
Southeastern	22	8.8	15.8
Southern	26	9.7	7.0
South West Trains	31	7.9	4.2
Trainline	1	2.0	3.7
Virgin West Coast	3	21.3	4.4
TfL London Buses	20	30.7	61.4
TfL London Underground	23	21.6	19.5
TfL Roads & Streets	5	15.2	8.3
TfL Dial-a-Ride	0	0.0	25.0
Oyster	53	16.1	16.2
TfL Other (inc DLR, Taxicard)	3	3.3	20.3

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	July to September 2011		<i>April to June 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	264	97.8%	262	98.1%
Days 11-20	5	1.9%	5	1.9%
Days 21-40	1	0.4%	0	0.0%
Days 41+	0	0.0%	0	0.0%
Total	270	100.0%	267	100.0%

During this period, final responses to 97.8% of cases were sent within 10 working days and 99.6% of cases within 20 working days (as compared with 98.1% 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.

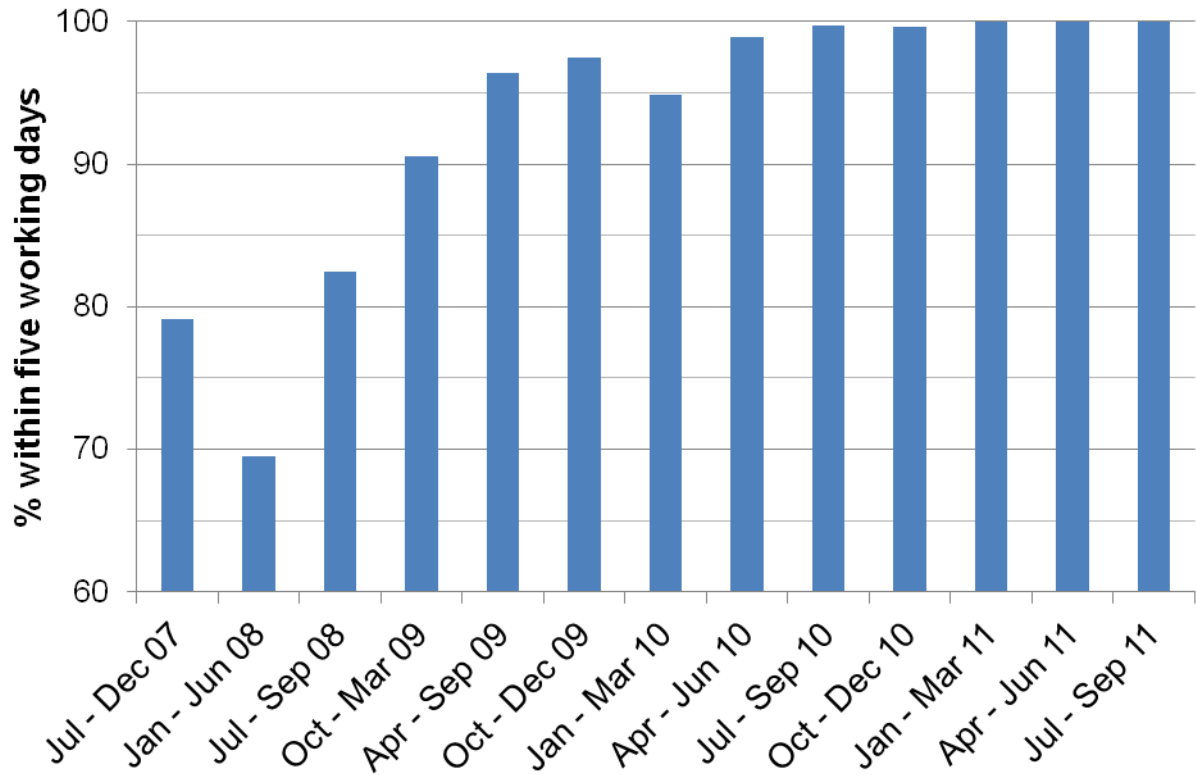
For those cases which we are able to provide a response at the time of receipt, the target is based upon the number of working days from receipt of the case to final reply. For those cases, which are the subject of a consultation exercise, the target is based upon the number of working days from the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

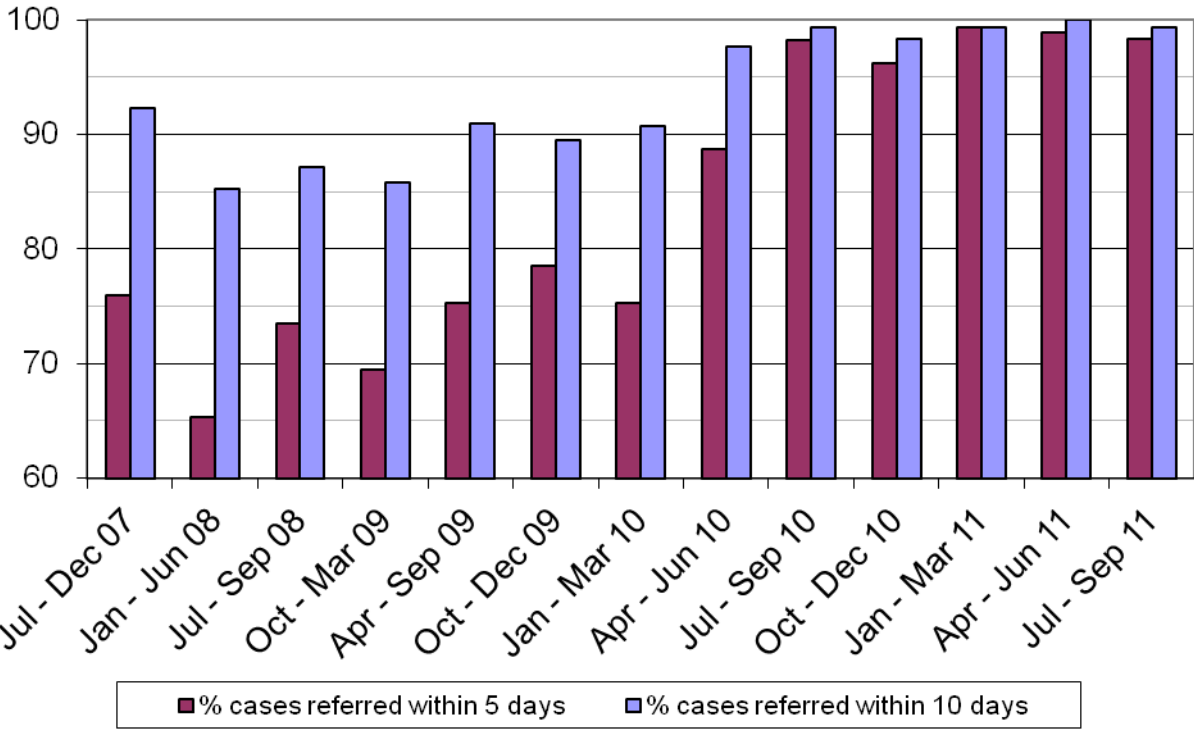
Working days elapsed	July to September 2011		<i>April to June 2011</i>	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-10	184	100.0%	<i>179</i>	<i>98.9%</i>
Days 11-20	0	0.0%	<i>2</i>	<i>1.1%</i>
Days 21-40	0	0.0%	<i>0</i>	<i>0.0%</i>
Days 41+	0	0.0%	<i>0</i>	<i>0.0%</i>
Total	184	100.0%	<i>181</i>	<i>100.0%</i>

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

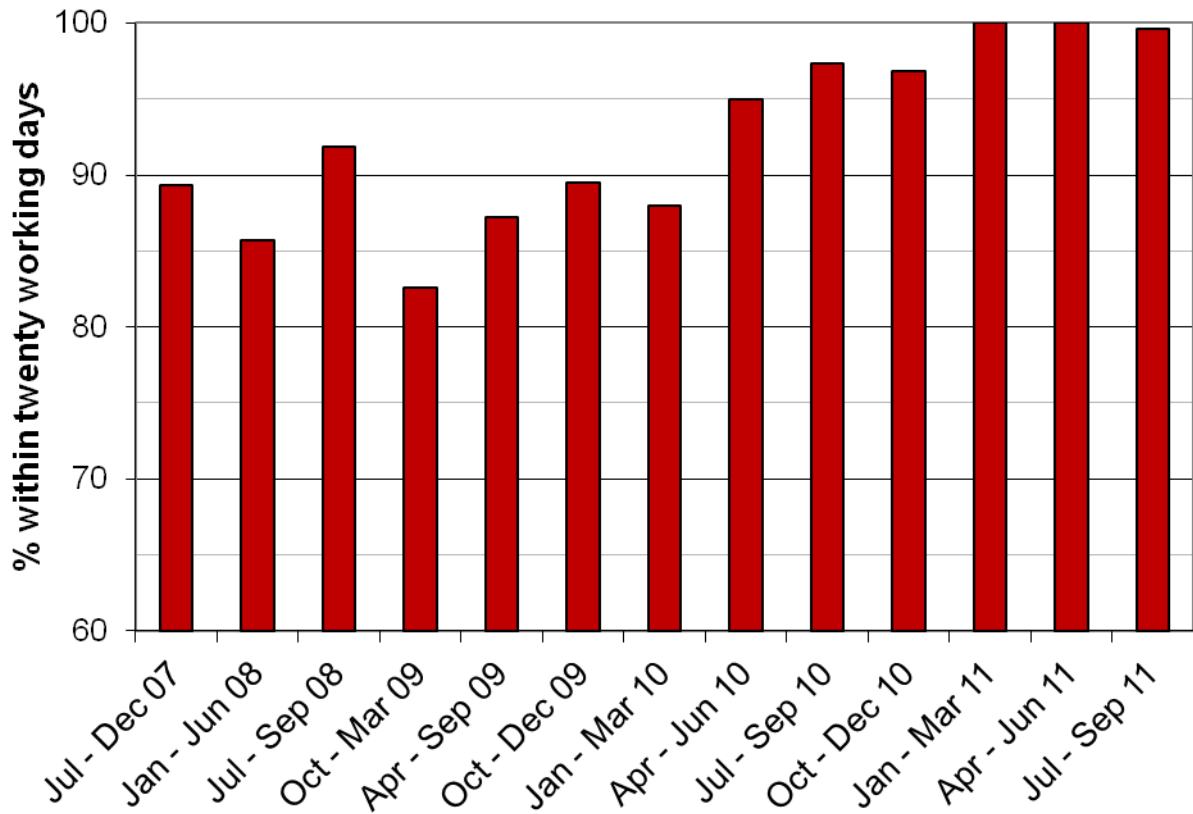
Target One: Acknowledging cases received



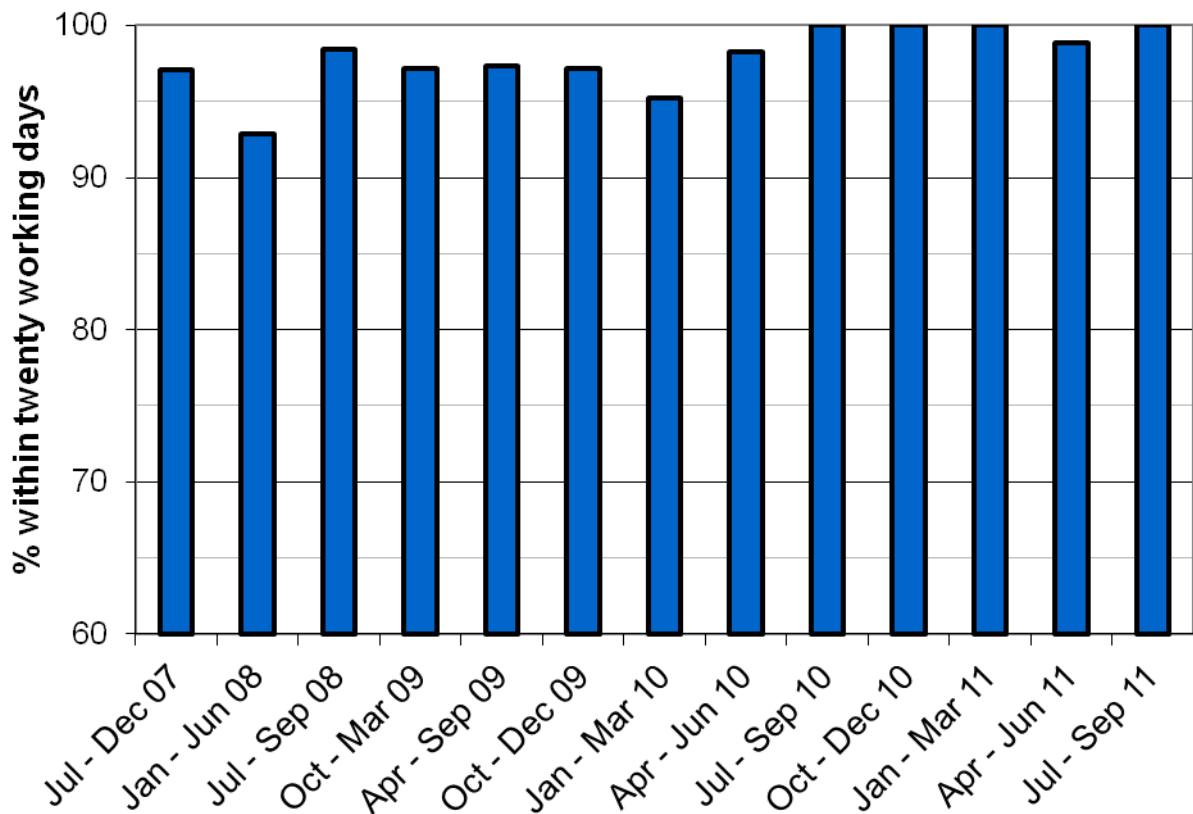
Target Two: Referrals of cases to operators



Target Four: Final replies



Target Five: Direct replies



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rt 2: Issues by operator

Purpose of report

To record the volume of casework received during the period July to September 2011. A total of 1,810 cases were opened on the database which generated 1,830 complaints (as compared to 1,875 cases and 1,911 complaints in the last quarter). Of these, 946 were enquiries and 345 were initials and were signposted or forwarded to the relevant operator for action.

The number of enquiries decreased by about 16% from the previous period., while the number of direct cases increased by 17%.

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

Issues	July to September 2011	April to June 2011
Enquiries	946	1,122
Initial cases	345	311
Appeal cases	317	286
Consultation cases	1	2
Direct cases	219	187
Member cases	2	0
Officer cases	0	3
Number of complaints	1,830	1,911

Count of Operator	Case Type						Grand Total
	Operator	Appeal	Consultation	Direct	Enquiry	Initial	
Abellio London			1				1
Abellio Surrey				1			1
Arriva The Shires				1			1
ATOC	1		1	1			3
Bus Users UK					6		6
C2C Rail	3		1	14	3		21
Chiltern Railways	2		3	6	5	1	17
Congestion Charging				1			1
Dial-a-Ride				8			8
Docklands Light Railway	2		2	40	6		50
East Coast	22		4	1	5		32
East Midlands Trains	3		3	5	5		16
easyBus (Arriva)					1		1
Eurostar	1		5	2			8
First Capital Connect	23		15	53	34		125
First Great Western	11		4	7	4		26
Grand Central Railway			1				1
Heathrow Express	1		2		1		4
Independent Appeals Service (IAS)	7		4	1	4		16
IPFAS	14		25	1	4		44
London Borough of Hammersmith & Fulham			1				1
London Boroughs				1			1
London Buses	12		9	487	18		526
London Buses Customer Services Centre					1		1
London General				1			1
London Midland	3		1	8	3		15
London Overground	4		2	2	4	1	13
London Tramlink	1			1			2
London TravelWatch			2	3			5
London Underground	16		11	14	8		49
Megabus	1						1
National Express East Anglia	11		4	22	16		53
National Rail Enquiries			2	82			84
National Railways Timetable				1			1
Network Rail	3		1	2	1		7
Office of Rail Regulation			1				2
Oyster Helpline	12		12	16	4		44
Passenger Focus			2	1	2		5
Rail Europe	2						2
RPSS	3		3	1			7
South West Trains	34		8	6	13		61
Southeastern Railway	22		15	17	20		74
Southern	28		22	16	13		79
TfL London Taxi and Private Hire				1			1
Trainline	3		2		1		6
Transport for London	66		46	73	153		338
Transport for London Barclays Cycle Scheme	1				1		2

Transport for London London Mobility Unit				1			1
Transport for London River Services				3			3
Transport for London Streets Uno	1		3	4			8
Victoria Coach Station				1			1
Virgin Trains				5			5
(blank)	4		1	35		9	49
Grand Total	317	1	219	946	345	2	1830

Count of Mode	Mode													Grand Total
Operator	Boat	Bus	Dial a Ride	DLR	Out of Remit	Oyster	Rail	Road	Taxi	TfL Policy	Tram	Underground	VCS	Grand Total
Abellio London		1												1
Abellio Surrey		1												1
Arriva The Shires		1												1
Bus Users UK		3			3									6
Congestion Charging		1												1
Dial-a-Ride			8											8
Docklands Light Railway				48		1	1							50
easyBus (Arriva)					1									1
London Buses		523					2			1				526
London Buses Customer Services Centre		1												1
London General		1												1
London Overground		1					12							13
London Tramlink								1			1			2
London Underground						4						45		49
Oyster Helpline		1		1		40						2		44
TfL London Taxi and Private Hire								1						1
Transport for London	1	145				82	15	11	1	13	1	69		338
Transport for London Barclays Cycle Scheme								2						2
Transport for London London Mobility Unit												1		1
Transport for London River Services	3													3
Transport for London Streets								7		1				8
Victoria Coach Station		4											1	5
Grand Total	4	683	8	49	4	127	30	22	1	15	2	117	1	1063

Part 3: Performance Update

As at 25 November 2011, the number of incomplete cases open on the casework database was 151. Of these, 103 were awaiting an operators' response and 35 were awaiting further correspondence from the complainant.

Count of Case Type	Column Labels					Grand Total
Row Labels	Appeal	Consultation	Direct	Enquiry	Initial	Grand Total
Awaiting operators' response	96		3	2	2	103
Awaiting response from complainant	28		1	5	1	35
Case Received	3		1	4		8
Escalated		1		1		2
Under Consideration	3					3
Grand Total	130	1	5	12	3	151

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