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**Secretariat memorandum**

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CAC033  
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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 2012.

**2 Performance reports**

- 2.1 This report covers the period January to March 2012. The number of appeal, direct and initial and enquiries have risen. Performance improved over the previous period, operators' performance reduced although outstanding issues were resolved before the end of the quarter.
- 2.2 Part 1 records performance against the turn round targets set in the Business Plan for the period from January to March 2012. The graphs show comparative performance against these targets since January 2008.
- 2.3 Part 2 analyses issues received by operator for the period from January to March 2012

**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 2012)

### 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. The report covers cases received up to and including 31 March 2012.

### 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 three 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 2012		October to December 2011	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	414	<b>100.0%</b>	<i>292</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	414	100.0%	<i>292</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 to operators was 100%, which is an increase on the previous quarter.

Working days Elapsed	January to March 2012		October to December 2011	
	No of cases	% of cases	<i>No of cases</i>	<i>% of cases</i>
Days 0-5	414	<b>100%</b>	313	<b>97.6%</b>
Days 6-10	0	<b>0%</b>	7	<b>2.4%</b>
Days 11-20	0	0.0%	1	0.3%
Days 21+	0	0.0%	1	0.3%
Total	414	100.0%	322	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 – March 2012		October to December 2011	
	No of cases	% of Cases	No of cases	<i>% of cases</i>
Days 0-10	149	71%	121	<b>75%</b>
Days 11-20	15	7%	14	<b>13%</b>
Days 21-40	40	19%	24	8%
Day 41+	7	3%	8	4%
Total	211	100%	121	100%

The majority of cases were dealt with within 20 working days. Some of the longer cases indicated issues now resolved.

<b>TRANSPORT for LONDON</b>				
Working days elapsed	January to March 2012		October to December 2011	
	No of cases	% of Cases	No of cases	% of cases
Days 0-10	63	52%	87	<b>38%</b>
Days 11-20	5	4%	19	<b>20%</b>
Days 21-40	51	41%	21	31%
Day 41+	4	3%	20	11%
<b>Total</b>	<b>123</b>	<b>100%</b>	<b>147</b>	<b>100%</b>

Outstanding cases have corrupted the figures above. The time taken to obtain a satisfactory response has been longer than usual. However, in most cases, Transport for London have maintained contact with London TravelWatch to find a resolution for the passenger. The cases taking over 41 days have decreased.

#### **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	January to March 2012		Oct to Dec 2011
	Number of appeal cases	Average number of working days	Average number of working days
ATOC	0	-	-
BTP	0	-	-
c2c	0	-	-
Chiltern	5	4	25
CrossCountry	0	-	-
Department for Transport	0	-	-
Deutsche Bahn	0	-	-
East Coast	17	15	10
East Midlands Trains	4	15	0.5
Eurostar	9	7	4
First Capital Connect	25	9	7
First Great Western	7	12	5.8
Grand Central	1	0	-
Gatwick Express	1	0	-
Greater Anglia	8	5	-
Heathrow Express	2	13	1.5
Hull Trains	0	-	-
IAS	6	0	0
IPFAS	15	2	10
London Midland	6	16	1
London Overground	1	20	4.5
National Express East Anglia	15	16	10
National Rail Enquiries	2	1	-
Network Rail	0	-	12.5
ORR	0	-	-
RailEurope	0	-	-
RPSS	0	-	14
ScotRail	0	-	-
Southeastern	25	6	9
Southern	22	7	9
South West Trains	33	6	3.5
Trainline	0	-	-
Virgin West Coast	8	18	6
TfL London Buses	30	15	20
TfL London Underground	24	12	9
TfL Roads & Streets	6	25	14
TfL Dial-a-Ride	1	0	-
Oyster	51	19	14
TfL Other (inc DLR, Taxicard)	10	3	13.5

## Target Four

This target requires 90% of final replies to be written with ten days and 100% within 20 days of receipt 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 three months (*in italics*).

Working days elapsed	January to March 2012		October to December 2011	
	No of cases	% of cases	No of cases	% of cases
Days 0-10	333	<i>99.71%</i>	255	<b>97.8%</b>
Days 11-20	1	<i>0.29%</i>	1	<b>1.9%</b>
Days 21-40	0	0	0	<i>0.4%</i>
Days 41+	0	0	0	<i>0.0%</i>
Total	334	100%	256	<i>100%</i>

During this period, there was a 31% increase in appeal cases and final responses to 99.71% of cases were sent within 10 working days and 100% of cases within 20 working days.

## Target Five

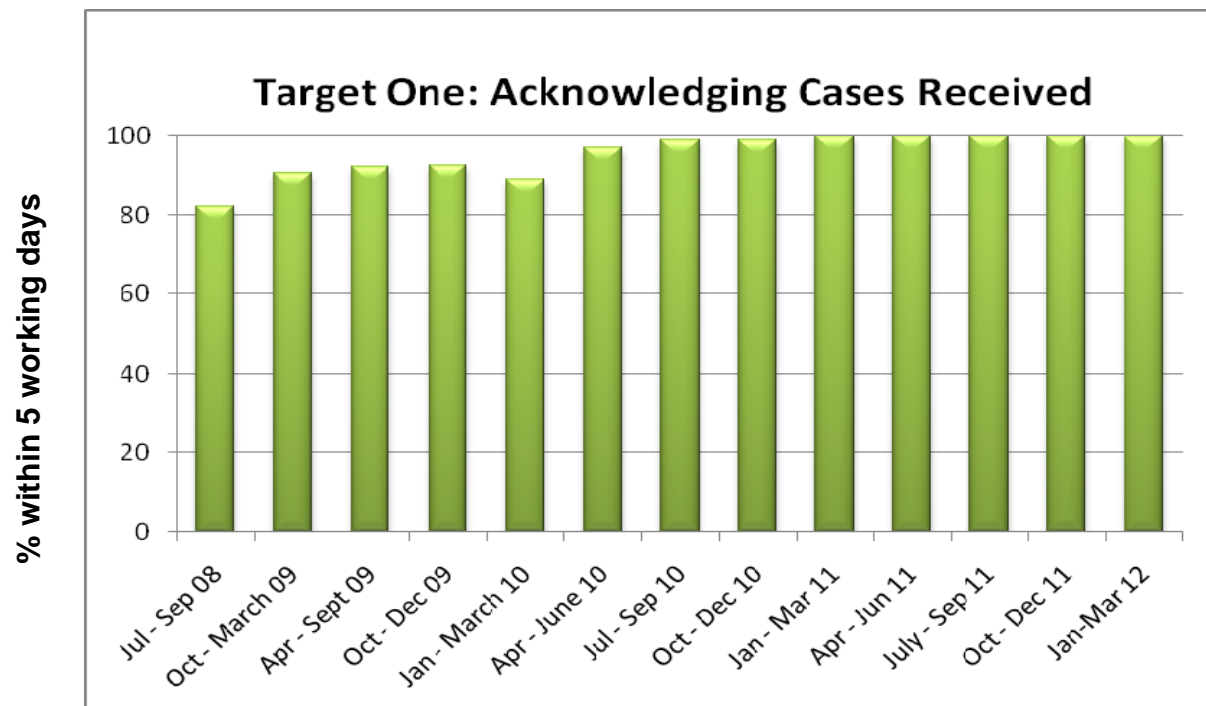
Target 5 applies to cases which are dealt with direct by London TravelWatch, without referral to the operator. These cases are usually those where the facts are clear, our policy is well established, and referral to the operator would add no value.

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 three months (*in italics*).

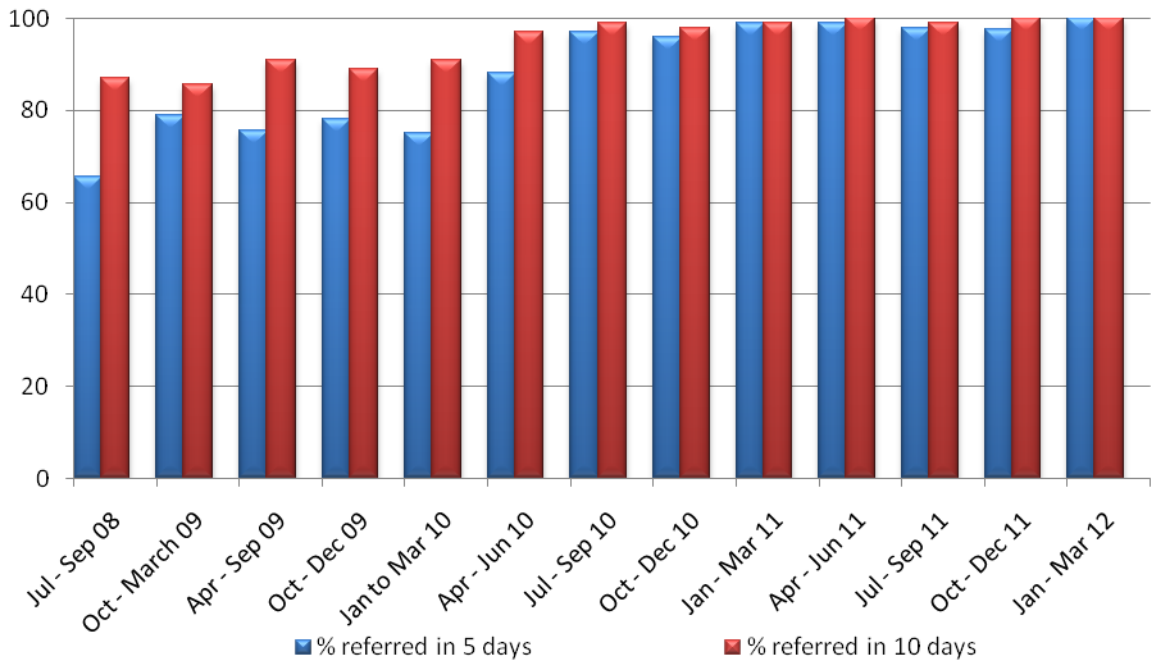
Working days elapsed	January to March 2012		October to December 2011	
	No of cases	% of cases	No of cases	% of cases
Days 0-10	246	<b>100%</b>	154	<b>98.9%</b>
Days 11-20	0	0	0	<b>1.1%</b>
Days 21-40	0	0	0	0.0%
Days 41+	0	0	0	0.0%
<b>Total</b>	246	100	154	100.0%

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

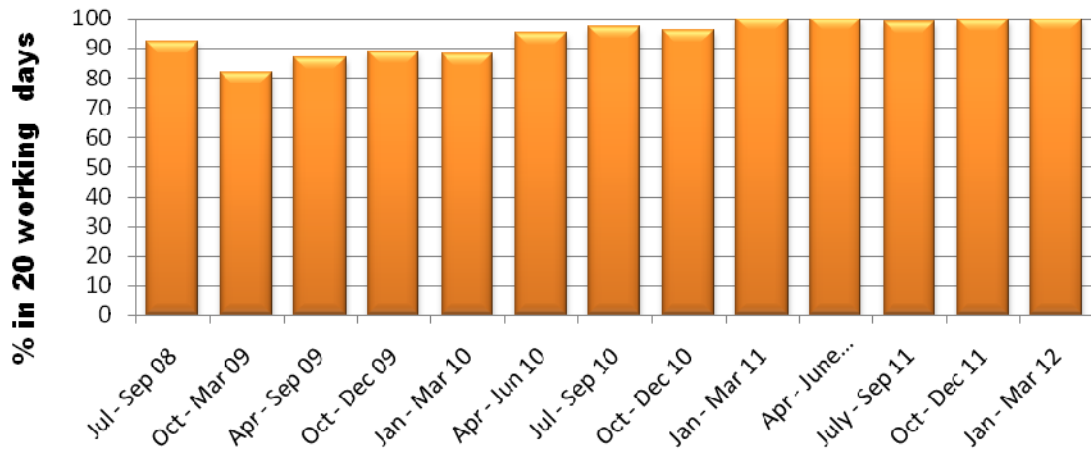


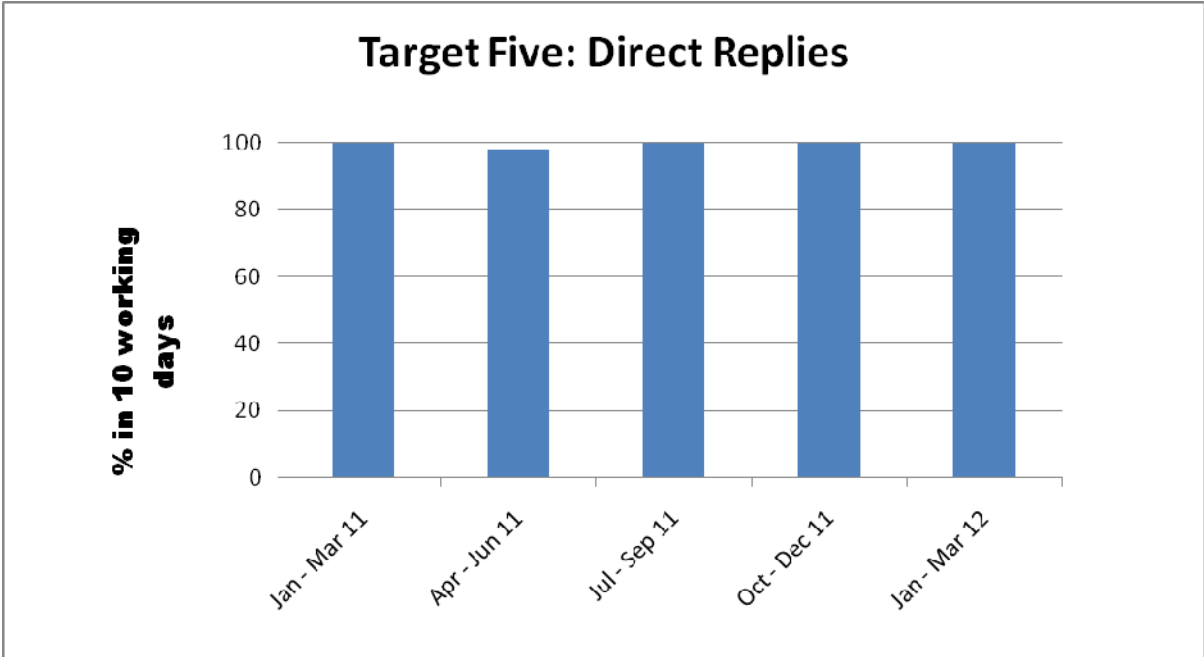
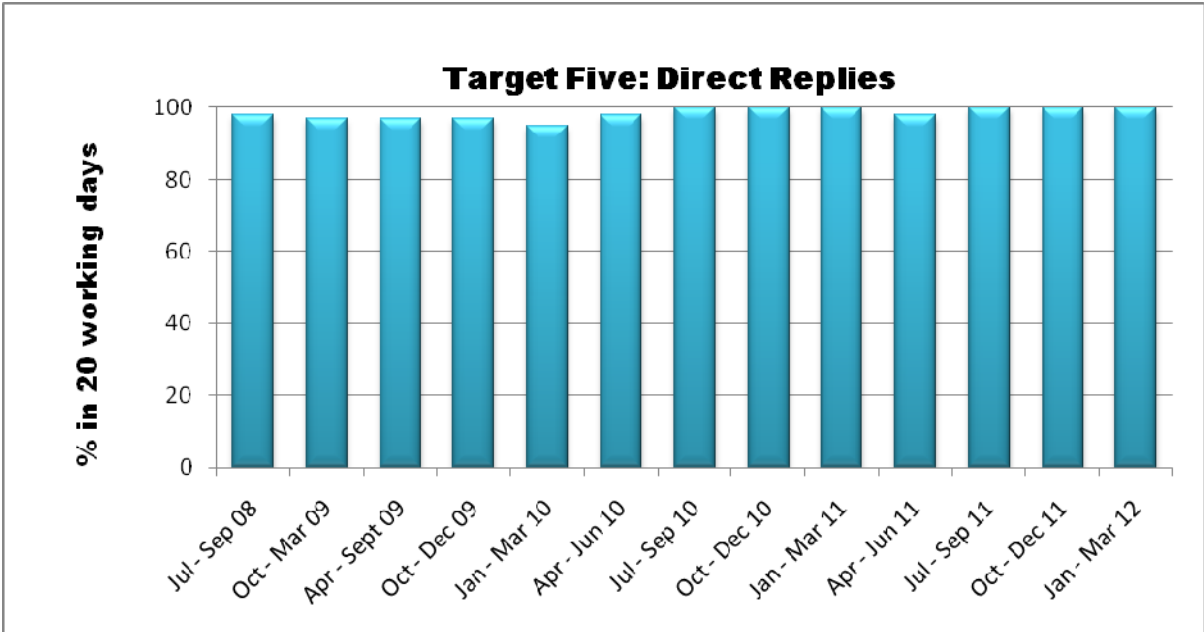


### Target Two: Referrals of cases to the operator



### Target Four: Final Replies





## Part 2: Issues by operator

### Purpose of report

To record the volume of casework received during the period January to March 2012. A total of 1,740 cases were opened on the database. It is clear that while the number of enquiries is reducing, the number of appeals is increasing.

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

Issues	January to March 2012	October to December 2011
Enquiries	742	782
Initial cases	414	292
Appeal cases	334	256
Consultation cases	1	0
Direct cases	246	154
Member cases	3	4
Officer cases	0	1
Number of complaints	1,740	1,489

It has been found that the data ***in this table only*** has been corrupted. When the report is run to produce this data, void cases have been included. Void cases can be removed from other reports.

A void case is normally a spam case or could be a case duplication – where a passenger has sent the same email two or more times.

The correct data required for this table can be gathered from a different source therefore the table will continue to appear in this report.

	Correct Data	Previous data incorrect <b>In this table only</b>
Issues	October to December 2011	October to December 2011
Enquiries	782	782
Initial cases	292	408
Appeal cases	256	260
Consultation cases	0	0
Direct cases	154	177
Member cases	4	4
Officer cases	1	1
Number of complaints	1,489	1,631

Row Labels	Appeal	Consult	Direct	Enquiry	Initial	Mmbr	Grand Total
Abellio Surrey				1			1
All			1				1
ATOC			1				1
Bicycles				1	2		3
Bus				1	1		2
Bus Users Uk			1				1
C2C			8	41	2		51
Chiltern	1		8	1	1		11
Chiltern Railways	2		2	1			5
Dial a Ride					3		3
Dial-a-Ride				8			8
Docklands Light Railway	5		6	22	7		40
Duetche Bahn			1				1
East Coast	16		9	2	3		30
East Midland			1	1			2
East Midlands Trains	4			3			7
Eurostar	13		9	3	1		26
First Capital Connect	21		14	55	24	2	116
First Captial Connect					2		2
First Great Western	7		2	1	2		12
Gatwick Express	1		1		1		3
Grand Central	1						1
Greater Anglia	3		4	12	13		32
Heathrow Express	2		1				3
IAS	5		5		4		14
Independent Appeals Service (IAS)	16		2	6			24
IPFAS	19		26	1	4		50
LEZ				1			1
Local Government Ombudsman				1			1
London Buses	25	1	31	347	150	1	555
London Buses Customer Services Centre				1			1
London Midland	7		2	2	5		16
London Overground			5	13	4		22
London Tramlink			2		2		4
London TravelWatch				3			3
London Underground	27		22	14	42		105
LTW			1	1	1		3
Metroline				2			2

National Express Coaches				2			2
National Express East Anglia	6		6	18	10		40
National Rail Enquiries	1			54			55
Network Rail			3	5	2		10
NRES	2		1		3		6
out of remit				1			1
Oyster	48		25	12	39		124
Oyster Helpline	5			21			26
Passenger Focus				6	7		13
Rail in General					1		1
Road - TfL	4		2		4		10
RPSS							0
ScotRail				1			1
South West Trains	27		12	6	10		55
Southeastern Railway	30		18	19	28		95
Southern	22		5	18	14		59
Standsted Express			2				2
Stansted Express	1				3		4
Taxi - TfL			1				1
Trainline	2		1				3
Transport for London	3		10	6	8		27
Transport for London River Services			1	1			2
Transport for London Streets	1		1	3			5
Virgin Trains	7		1	24	11		43
<b>Grand Total</b>	<b>334</b>	<b>1</b>	<b>246</b>	<b>742</b>	<b>414</b>	<b>3</b>	<b>1740</b>

## 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