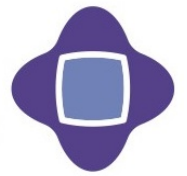


Quarterly  
Report

Q4

Dates: 01/01/% - 31/0' /%



# Contents

Executive Summary	1
Notes	1
Definitions	2
1. Complaints referred to the Rail Ombudsman for assessment, by month	3
2. Complaint volume by Participating Train Operating Company	4
3. Complaints referred to the Rail Ombudsman by top level complaint category	5
4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman	5
5. Complaints referred to the Rail Ombudsman by second level category	6-7
6. Volumes assessed as In Scope or Out of Scope	8
7. Complaints transferred to Transport Focus, London TravelWatch or retained by the Rail Ombudsman	9
8. Complex Resolution case outcomes	9
9. Simple Resolution case outcomes	10
10. Out of Scope categories	10
11. Complaint classifications by Participating Train Operating Company	11
12. Complex Resolution case outcomes by Participating Train Operating Company	12
13. Simple Resolution case outcomes by Participating Train Operating Company	13
14. Average time to close In Scope complaints in working days	14

# Executive Summary

This is the first quarterly report produced by the Rail Ombudsman, providing complaint case information from January 2019 to March 2019 ("Quarter 4").

The Rail Ombudsman was launched on the 26th November 2018 as a free service for Rail Passengers. It is an independent, impartial and expert organisation equipped to investigate rail complaints for Rail Passengers who have not been able to resolve their complaints directly with the Participating Train Operating Companies. For further information about the Rail Ombudsman please visit our website: [www.railombudsman.org](http://www.railombudsman.org)

The Rail Ombudsman helps Rail Passengers and Participating Train Operating Companies to reach a fair resolution to complaints. Its decisions are binding on Participating Train Operating Companies. Furthermore, it provides feedback to the rail industry to help encourage improvements and where possible, reduce future preventable complaints.

A total of 726 complaints were referred to the Rail Ombudsman in Quarter 4. During the same period, we assessed 195 to be In Scope and eligible for the scheme. We transferred 273 to statutory appeals bodies to deal with and we assessed that 202 were not eligible and thus Out of Scope. We Mediated 58 cases and Adjudicated on a further 47. In 2 instances, the Rail Passenger withdrew their complaint. 88 complaints were resolved via a Simple Resolution. Of these, 86 complaints were satisfied by the performance of a previously agreed resolution, or a resolution that was decided between the parties independently after the complaint was raised with the Rail Ombudsman. The remaining 2 cases were not upheld as the nature of the claims were such that the decision was made at an administrative level.

The Rail Ombudsman can only consider complaints arising from events that occurred on or after the 26th November 2018. A number of complaints that fell before this date were not eligible to be considered.

In addition to the quantitative data provided within this report, the Rail Ombudsman is producing a series of case studies that provide both Rail Passengers and the rail industry with insights about the Rail Ombudsman scheme. These are available at: [www.railombudsman.org/resource-area/faq-3/case-studies/](http://www.railombudsman.org/resource-area/faq-3/case-studies/)

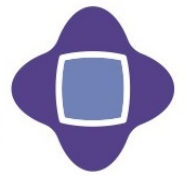
All data within this report has been extracted from the Rail Ombudsman's Case Management System.

## Notes

All percentages shown within this report have been rounded up or down to the nearest whole number.

Passenger journeys delivered by Participating Train Operating Companies vary in length and number. Complaint volumes in this report have not been weighted to reflect this and should not be used as mechanisms for comparison. Further information on Train Operating Companies' passenger numbers can be found on the Office of Rail and Road's data portal here: <https://dataportal.orr.gov.uk/browsereports/12>

Complaints evaluated / closed by the Rail Ombudsman during Quarter 4 include complaints raised in the previous quarter.

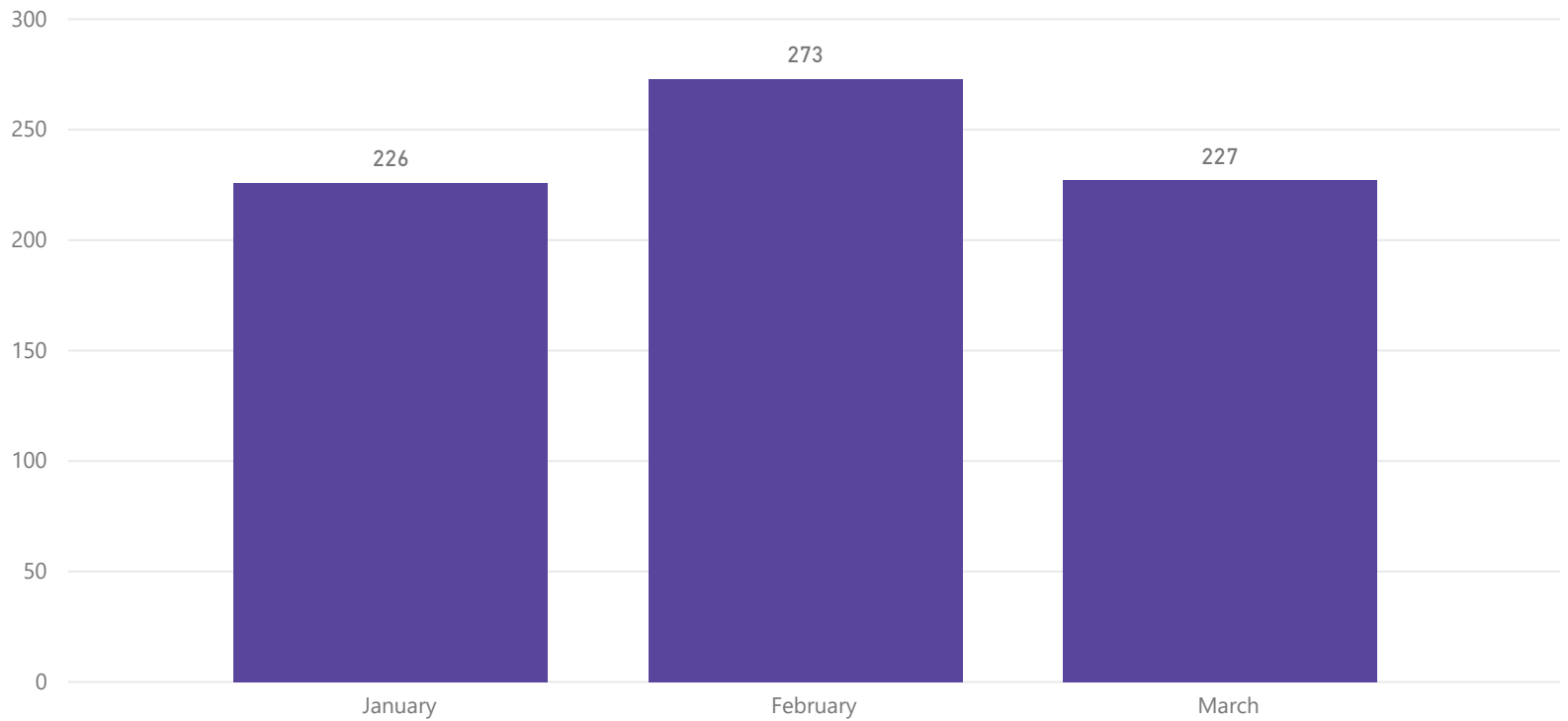


# Definitions

<b>Rail Passenger</b>	An individual who has undertaken, or has attempted to undertake, a journey on a scheduled rail service, and has purchased (or has had purchased on their behalf), or has attempted to purchase, a ticket for that journey.
<b>Participating Train Operating Company</b>	A train operating company which is part of the Rail Ombudsman scheme. The full list of Participating Train Operating Companies is available here: <a href="http://www.railombudsman.org/about-us/Participating-service-providers/">www.railombudsman.org/about-us/Participating-service-providers/</a>
<b>In Scope</b>	A complaint accepted as being eligible for the Rail Ombudsman scheme.
<b>Out of Scope (Transferred)</b>	A complaint that is outside the scope of the Rail Ombudsman scheme which is transferred to either Transport Focus or London TravelWatch.
<b>Out of Scope (Ineligible)</b>	A complaint which is deemed ineligible for the Rail Ombudsman scheme and also for Transport Focus and London TravelWatch.
<b>Simple Resolution</b>	A stage in the Rail Ombudsman process that provides an opportunity, in some circumstances, to quickly resolve an issue.
<b>Complex Resolution</b>	A stage in the Rail Ombudsman process where a Simple Resolution is not possible. The Rail Ombudsman will first Mediate and then where applicable, Adjudicate to resolve an In Scope complaint.
<b>Mediation</b>	The process by which, assisted by an independent view from the Rail Ombudsman, a settlement in relation to an In Scope complaint can be negotiated to which both the Rail Passenger and the Participating Train Operating Company agree.
<b>Adjudication</b>	The process by which, in the event that a Simple Resolution and Mediation have been unsuccessful in reaching agreement between the Participating Train Operating Company and the Rail Passenger, the Rail Ombudsman will investigate and make an impartial decision on the case.



## 1. Complaints referred to the Rail Ombudsman for assessment, by month

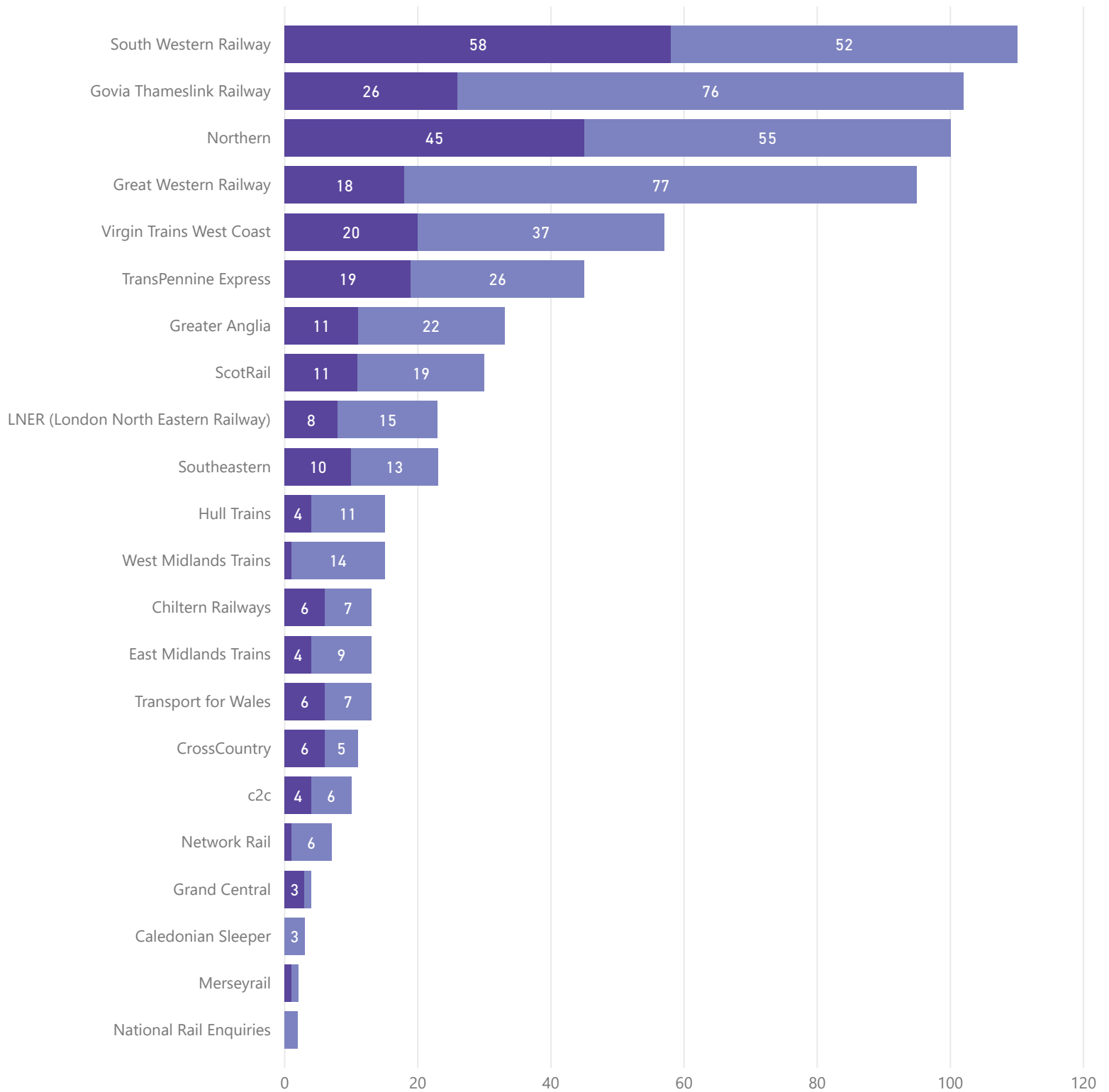


Total referred to the Rail Ombudsman in Quarter 4: 726

## 2. Complaint volume by Participating Train Operating Company

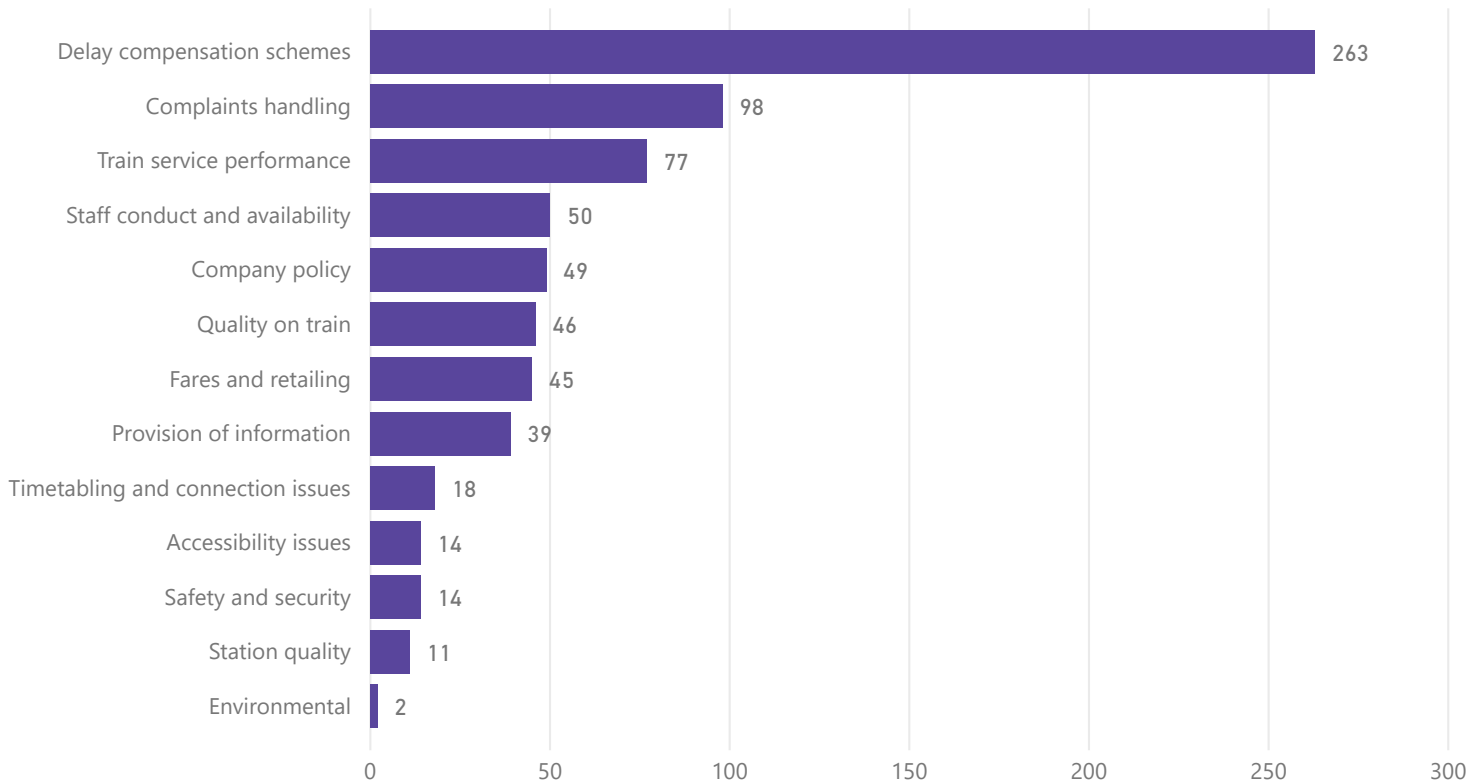
New complaints referred to the Rail Ombudsman during Quarter 4.

● In Scope ● Out of Scope





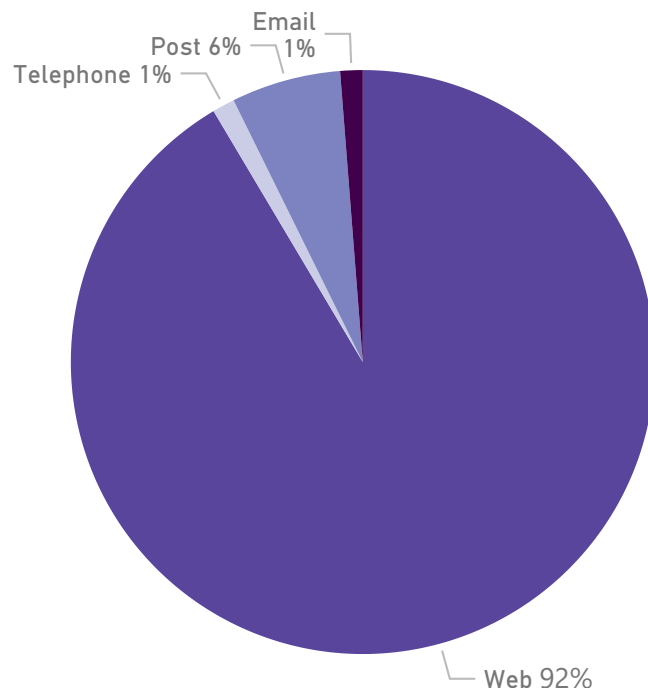
### 3. Complaints referred to the Rail Ombudsman, by top level complaint category



### 4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

The channel used by a Rail Passenger to refer a complaint (excluding contact relating to general enquiries, advice and signposting).

Channel	Vol. of complaints
Web	664
Post	44
Email	9
Telephone	9
<b>Total</b>	<b>726</b>





## 5. Complaints referred to the Rail Ombudsman by second level category

Second level category	Top level category	Vol. of complaints
Compensation claim rejected	Delay compensation schemes	98
Punctuality/reliability (i.e. the train arriving/departing on time)	Train service performance	75
Level of compensation	Delay compensation schemes	73
Complaints not fully addressed/fulfilled by Participating Train Operating Company	Complaints handling	68
Compensation claims process	Delay compensation schemes	57
Ticketing and refunds policy	Company policy	45
The attitudes and helpfulness of the staff at station	Staff conduct and availability	31
Speed of response	Delay compensation schemes	28
Provision of information about train times/platforms	Provision of information	21
Ticket buying facilities	Fares and retailing	20
Sufficient room for all passengers to sit/stand	Quality on train	19
Other	Fares and retailing	15
No response from Participating Train Operating Company	Complaints handling	11
Facilities onboard	Quality on train	11
The helpfulness and attitude of staff on train	Staff conduct and availability	11
Personal security onboard	Safety and security	9
Unhappy at type/level of compensation	Complaints handling	8
The provision of information during the journey	Provision of information	8
Response time	Complaints handling	7
Smartcards	Fares and retailing	7
Other	Provision of information	7
Upkeep and repair of the train	Quality on train	7
Assistance staff	Accessibility issues	5
Awareness/promotion of schemes	Delay compensation schemes	5
The facilities and services	Station quality	5
Connections with other train services	Timetabling and connection issues	5
The frequency of the trains on that route	Timetabling and connection issues	5
Booked assistance not provided at station	Accessibility issues	4
Cleanliness of train	Quality on train	4
Other	Quality on train	4
Personal security whilst using station	Safety and security	4
Other	Accessibility issues	3
Other	Company policy	3
Staff member was impolite/unhelpful	Complaints handling	3
Value for money of ticket price	Fares and retailing	3
Provision of information on website or mobile apps	Provision of information	3
Other	Station quality	3
Timetabling	Timetabling and connection issues	3
Other	Delay compensation schemes	2
Other	Staff conduct and availability	2
The availability of staff - at station	Staff conduct and availability	2
The availability of staff - onboard	Staff conduct and availability	2
Connections with other forms of public transport	Timetabling and connection issues	2
The length of time the journey was scheduled to take (speed)	Timetabling and connection issues	2
Other	Train service performance	2

*Continued on next page.*





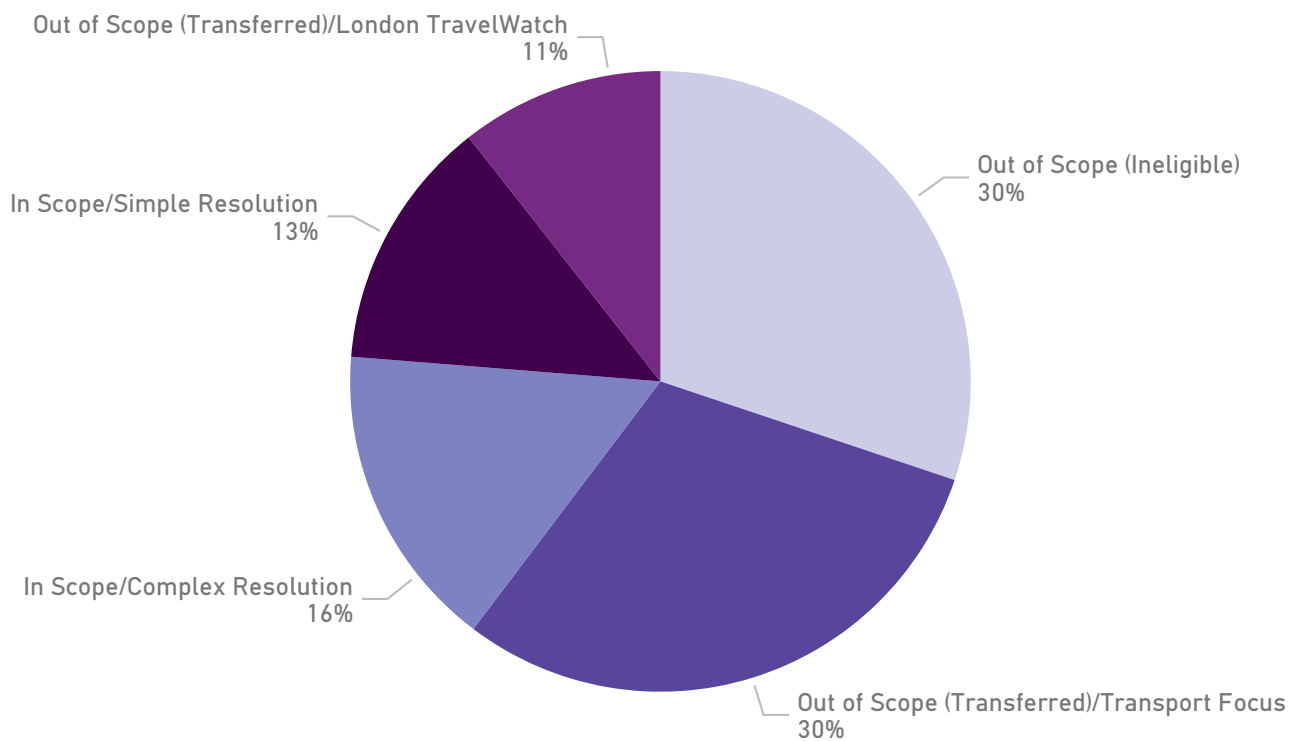
*Continued from previous page.*

Second level category	Top level category	Vol. of complaints
Assistance booking process	Accessibility issues	1
Participating Train Operating Company accessibility policy	Accessibility issues	1
Onboard policy	Company policy	1
Other	Complaints handling	1
Other	Environmental	1
Overgrown vegetation	Environmental	1
The toilet facilities	Quality on train	1
Other	Safety and security	1
How request to station staff was handled	Staff conduct and availability	1
The helpfulness and attitude of other staff (not on train/not at station)	Staff conduct and availability	1
Facilities for car parking	Station quality	1
The provision of shelter facilities	Station quality	1
The upkeep/repair of the station buildings/platforms	Station quality	1
Routing	Timetabling and connection issues	1

## 6. Volumes assessed as In Scope or Out of Scope

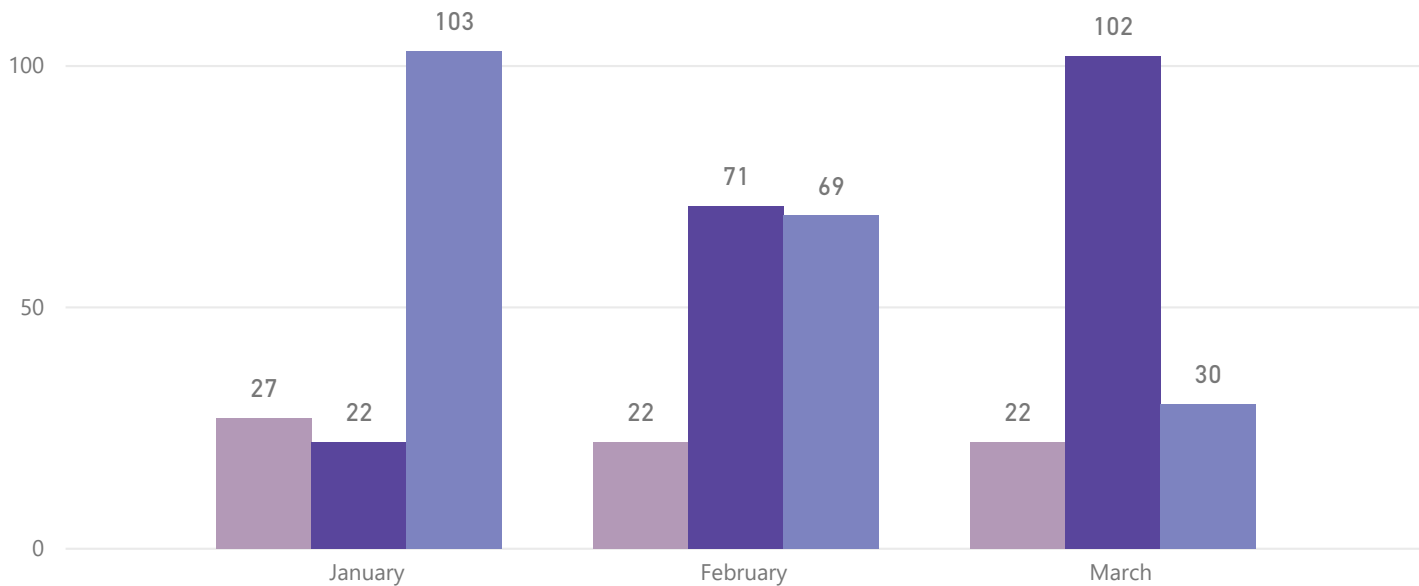
How we classified the complaints that were closed by the Rail Ombudsman or deemed to be Out of Scope in Quarter 4.

Classification Type	No. of complaints
Out of Scope (Ineligible)	202
Out of Scope (Transferred)/Transport Focus	202
In Scope/Complex Resolution	107
In Scope/Simple Resolution	88
Out of Scope (Transferred)/London TravelWatch	71
<b>Total</b>	<b>670</b>



## 7. Complaints transferred to Transport Focus, London TravelWatch or retained by the Rail Ombudsman

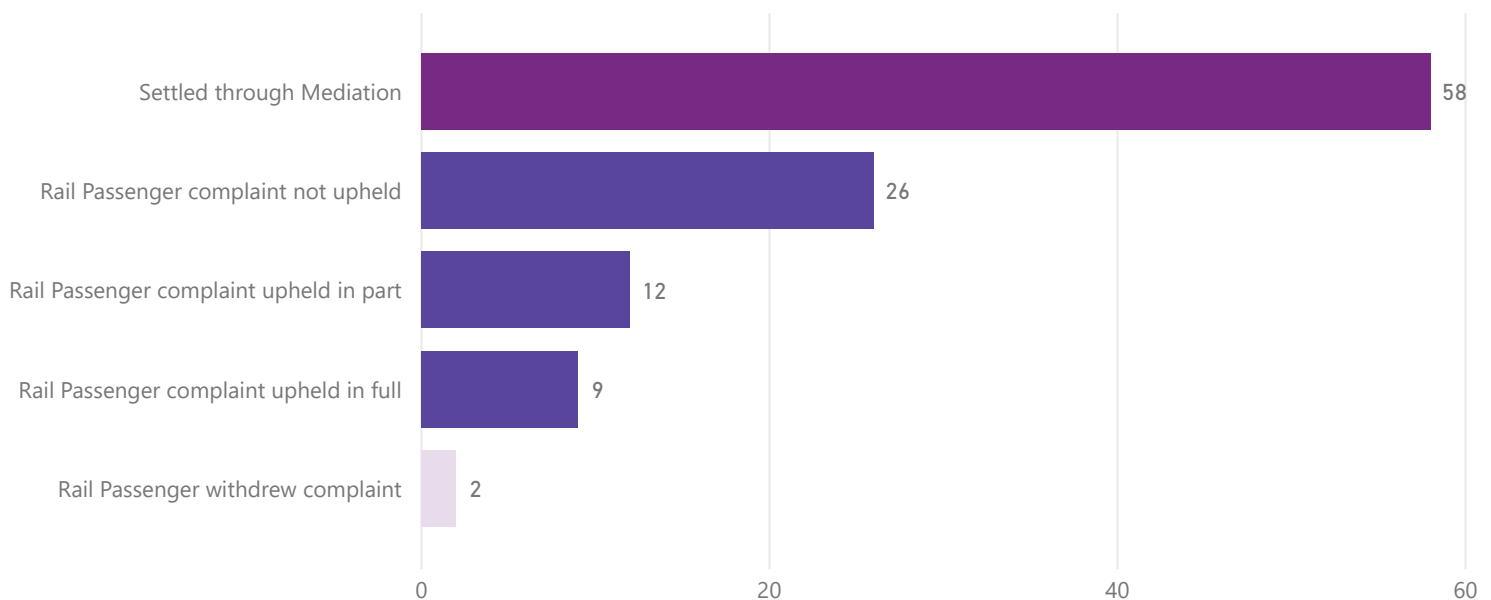
Transferred to ● London TravelWatch ● Retained by the Rail Ombudsman ● Transport Focus



## 8. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

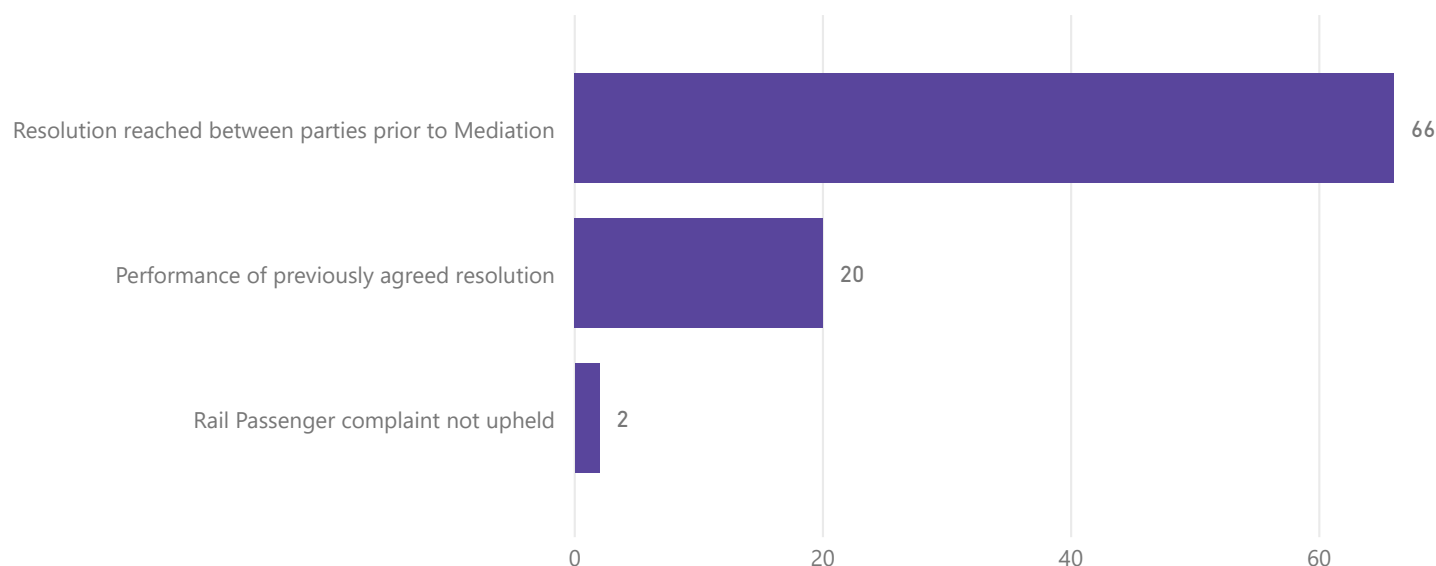


*Rail Passengers received a remedy in 75% of Complex Resolution cases either through Mediation or Adjudication.*



## 9. Simple Resolution case outcomes

Outcomes of closed Simple Resolution cases.



## 10. Out of Scope categories

Reasons why complaints referred to the Rail Ombudsman were found to be Out of Scope.

Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
Incident date prior to Ombudsman launch *	20	244	<b>264</b>
No deadlock letter provided **	150		<b>150</b>
Policy issues	12	23	<b>35</b>
Already settled	12		<b>12</b>
Penalty fare appeals	1	3	<b>4</b>
Action being taken by alternative channel	3		<b>3</b>
Business to business		2	<b>2</b>
Planned service alterations/closures	1	1	<b>2</b>
Personal injury claim	1		<b>1</b>
Residential or lineside issues	1		<b>1</b>
Tort or criminal claims	1		<b>1</b>
<b>Total</b>	<b>202</b>	<b>273</b>	<b>475</b>

\* The Rail Ombudsman launched on 26th November 2018 and we were unable to accept complaints concerning incidents that occurred prior to this date.

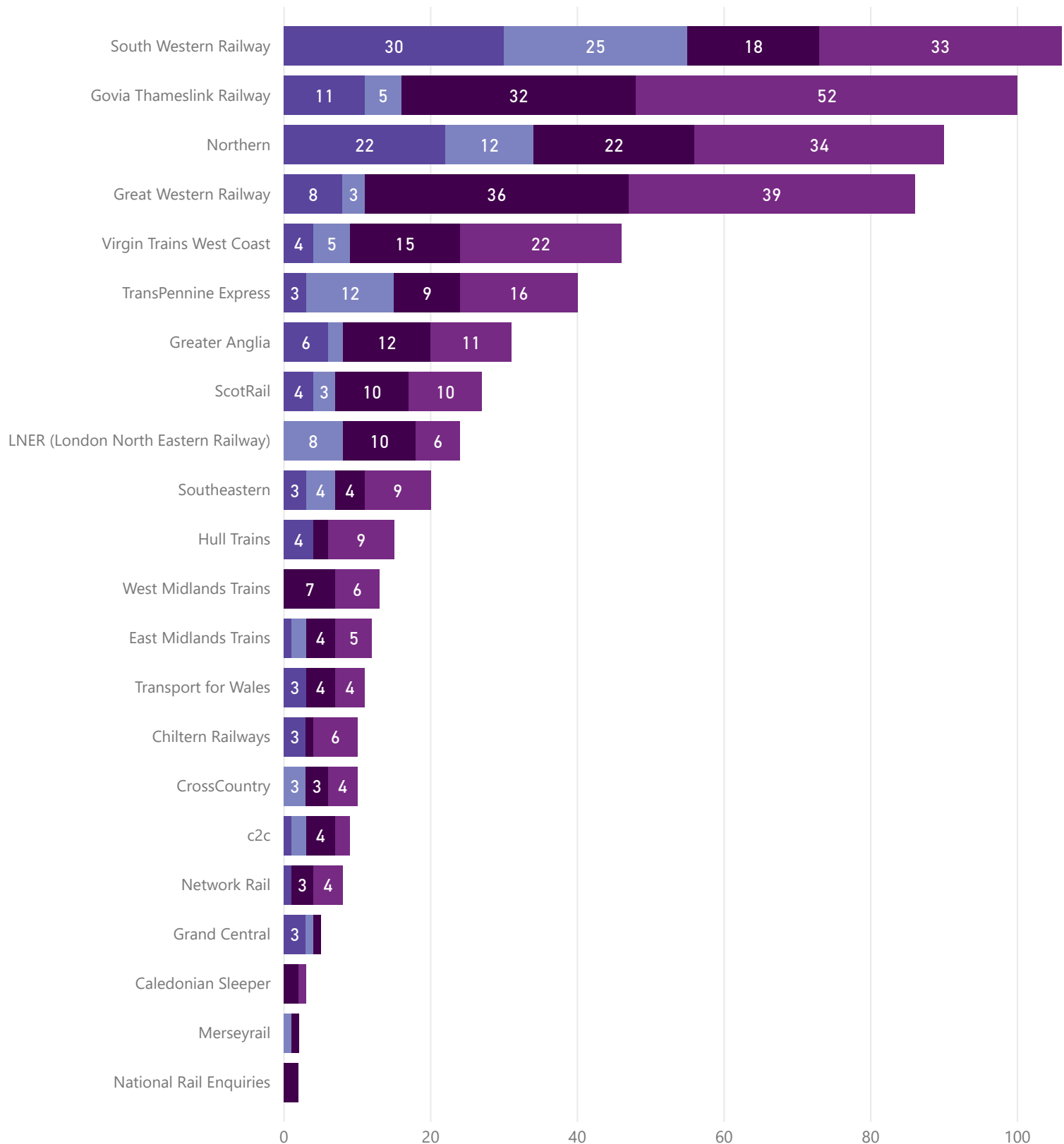
\*\* Complaints can only be accepted if the Participating Train Operating Company hasn't resolved the Rail Passenger's complaint within 40 working days; or if the Rail Passenger is unhappy with their final response which was contained in a letter/e-mail (called a "deadlock letter") from the Participating Train Operating Company.



## 11. Complaint classifications by Participating Train Operating Company

Complaints evaluated by the Rail Ombudsman during Quarter 4, by Participating Train Operating Company.

● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of Scope (Ineligible) ● Out of Scope (Transferred)

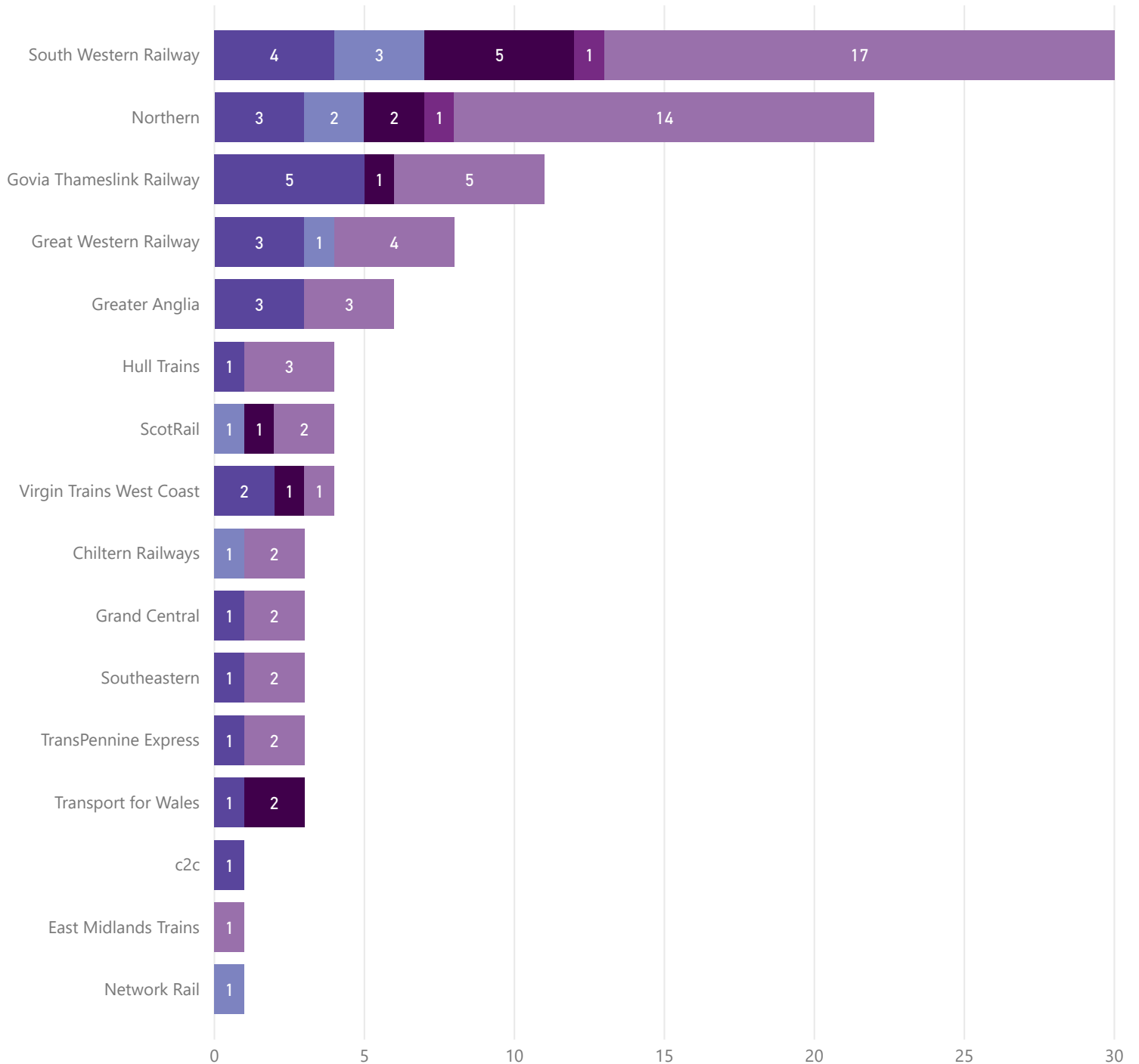




## 12. Complex Resolution case outcomes, by Participating Train Operating Company

Outcomes of closed Complex Resolution cases by Participating Train Operating Company.

- Rail Passenger complaint not upheld
- Rail Passenger complaint upheld in full
- Rail Passenger complaint upheld in part
- Rail Passenger withdrew complaint
- Settled through Mediation

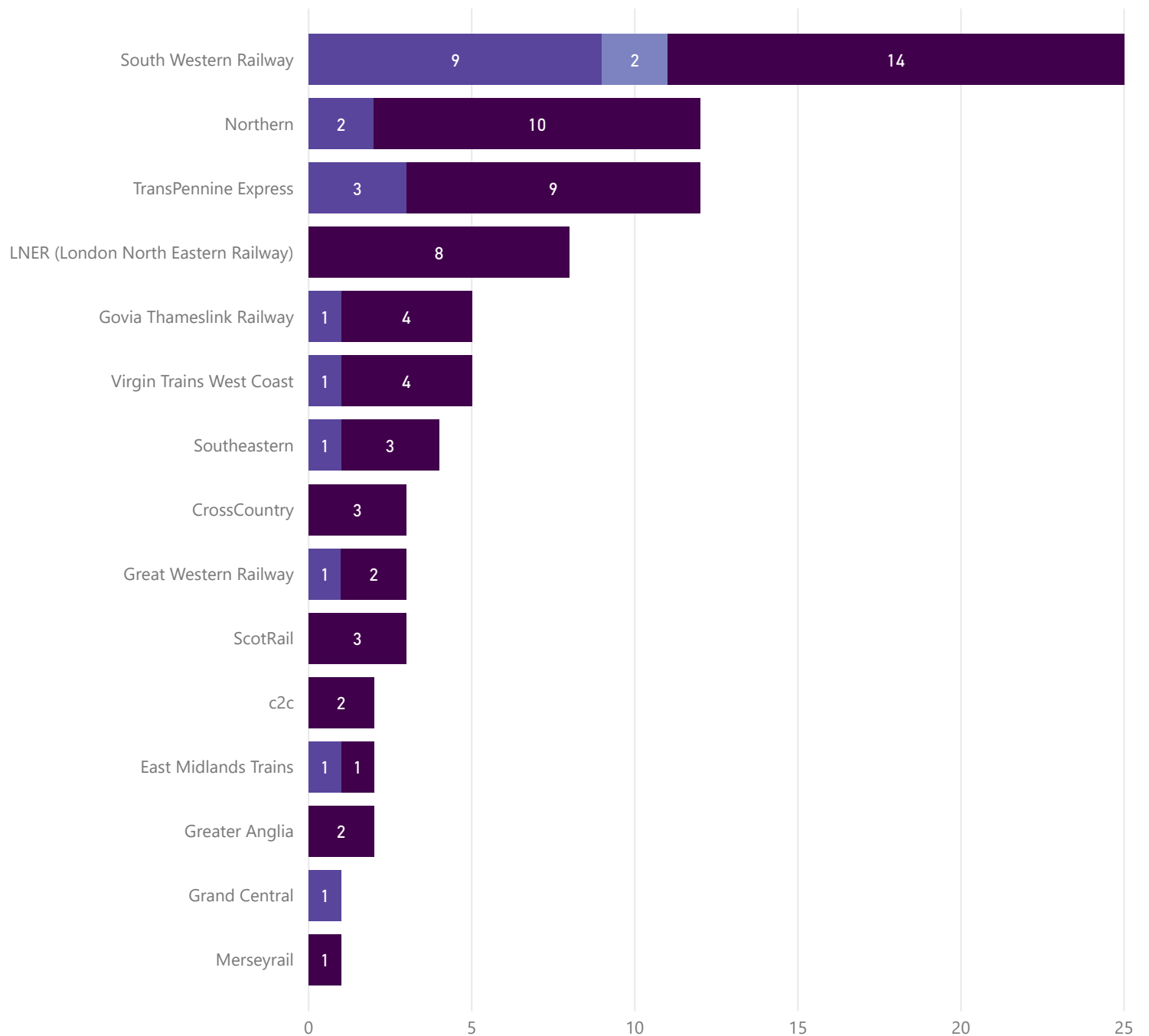




### 13. Simple Resolution case outcomes, by Participating Train Operating Company

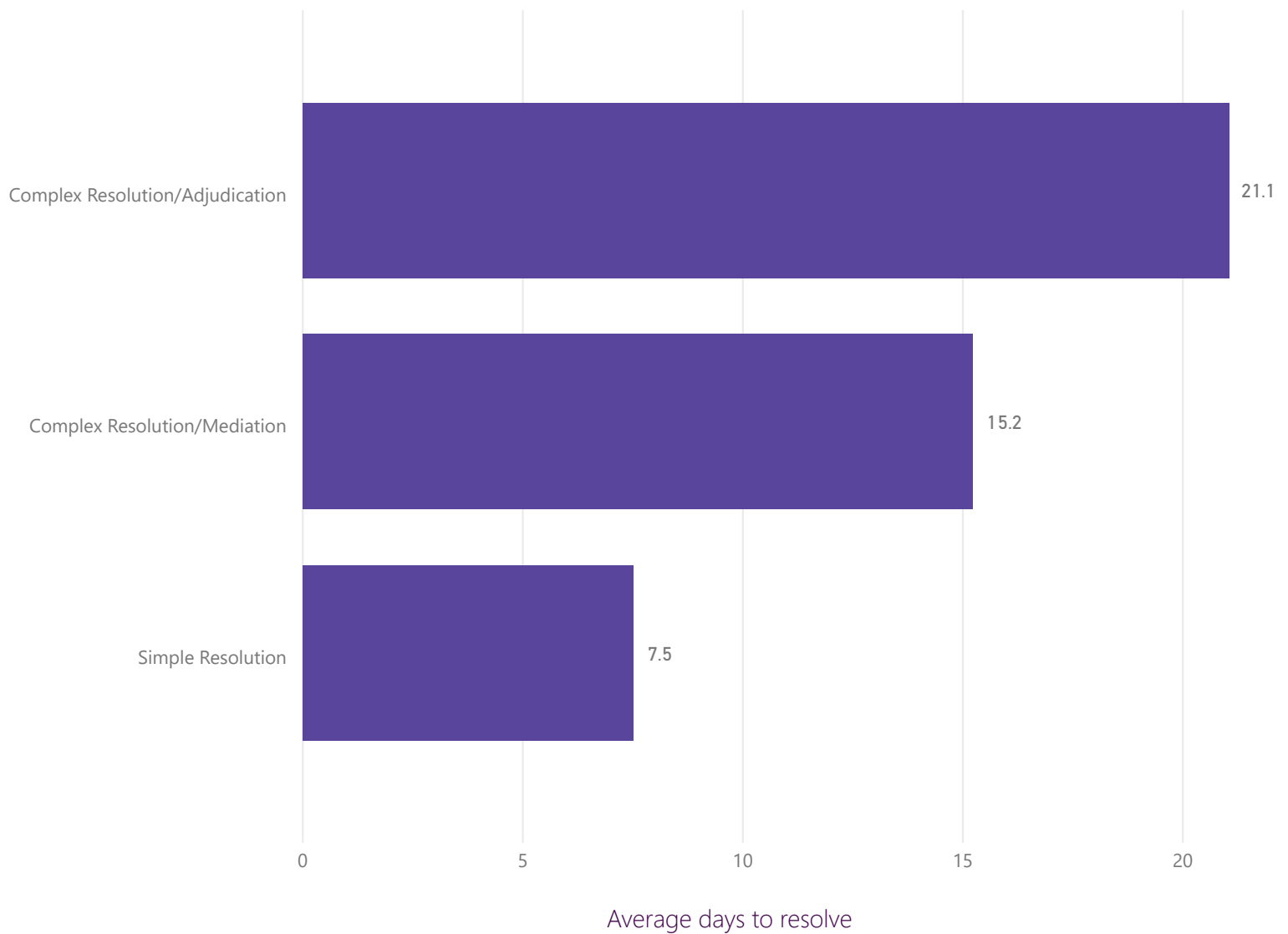
Outcomes of closed Simple Resolution cases by Participating Train Operating Company.

● Performance of previously agreed resolution ● Rail Passenger complaint not upheld ● Resolution reached between parties prior to Mediation



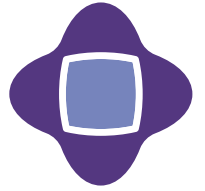


## 14. Average time to close In Scope complaints in working days





# The Rail Ombudsman



[www.railombudsman.org](http://www.railombudsman.org)

Dates: 01/01/19 - 31/03/19