

# Quarterly Statistical Report

# Q3

Dates: 01/10/% - 31/12/%



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## 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 Rail Operating Company</b>	A rail operating company which is part of the Rail Ombudsman scheme. The full list of Participating Rail 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. The majority of complaints found to be ineligible are caused by Rail Passengers approaching the Rail Ombudsman without a deadlock letter and before the end of the 40 working day period allowed to Rail Operating Companies to resolve their complaints.
<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 Rail 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 Rail Operating Company and the Rail Passenger, the Rail Ombudsman will investigate and make an impartial decision on the case.

## Notes

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

Passenger journeys delivered by Participating Rail Operating Companies vary in length and number. Unless specified, complaint volumes in this report have not been weighted to reflect this and should not be used as mechanisms for comparison.

Further information on Rail Operating Companies' passenger numbers and complaint volumes can be found on the Office of Rail and Road's data portal here: <https://dataportal.orr.gov.uk/>

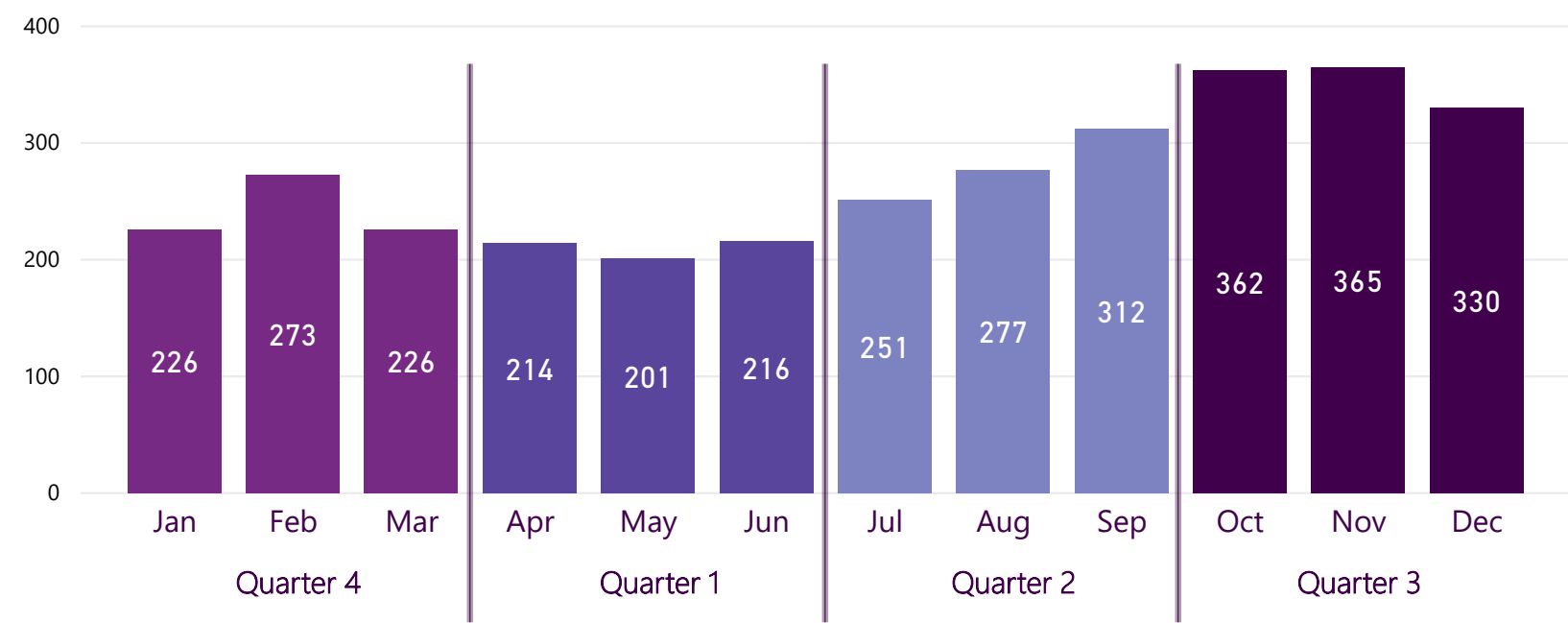
Complaints evaluated / closed by the Rail Ombudsman during Quarter 3 include complaints raised in the previous quarter.

# Quarter 3: Key Facts

	Quarter 3	vs Quarter 2
New cases referred to the Rail Ombudsman	1057	+26%
Cases evaluated by the Rail Ombudsman	995	+42%
% Cases found to be In Scope for the scheme	62%	+5% pts
% Eligible cases referred to consumer advocacy bodies	11%	-5% pts
% Cases found to be Out of Scope: Ineligible	31%	-1% pts
Average financial award (where financial award secured)	£91	+10%

Delay compensation and train service performance were the most common complaint categories with these alone accounting for 42% of the total cases evaluated this quarter.

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



Total referred to the Rail Ombudsman in Quarter 3: 1057

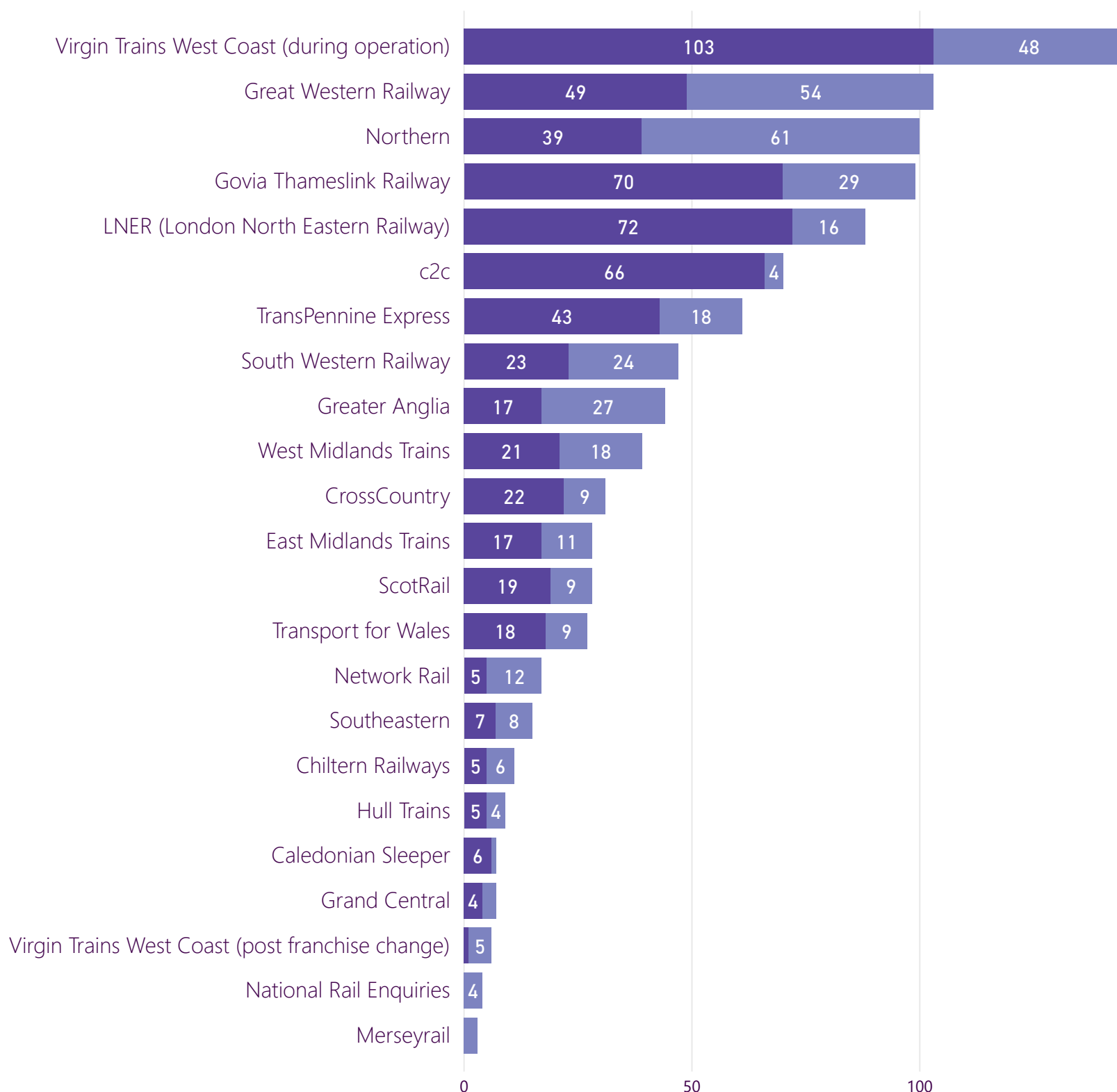
The above chart covers complaints referred to the Rail Ombudsman during Quarter 3 and includes both In Scope and Out of Scope complaints. Note: Outcomes of some of these will carry forward into the next Quarter.



## 2. Complaint volume by Participating Rail Operating Company

Volume of complaints assessed during Quarter 3 by Rail Operating Company.

● In Scope ● Out of Scope



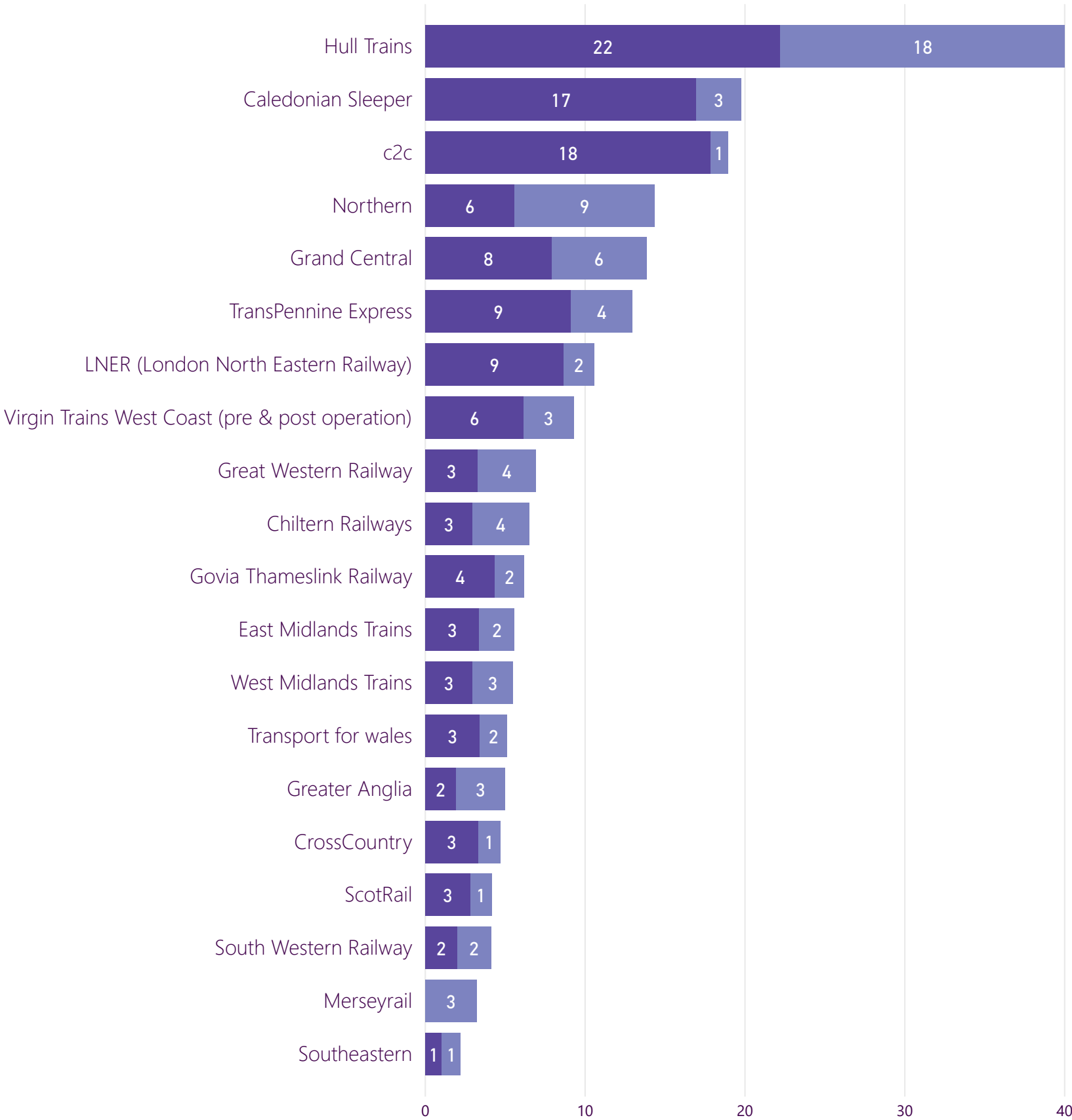
*Virgin Trains West Coast (during operation) are cases brought before the franchise was taken over by Avanti. Virgin Trains West Coast (post franchise change) are cases that were brought against Virgin Trains West Coast after the franchise change but concerning incidents that occurred whilst Virgin Trains West Coast were still operating. No Avanti cases were closed by the Rail Ombudsman during the time periods covered in this report.*



3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

Volume of complaints assessed during Quarter 3 by Participating Rail Operating Company, normalised by Rail Operator complaints (scaled by 1000s for ease of reading).

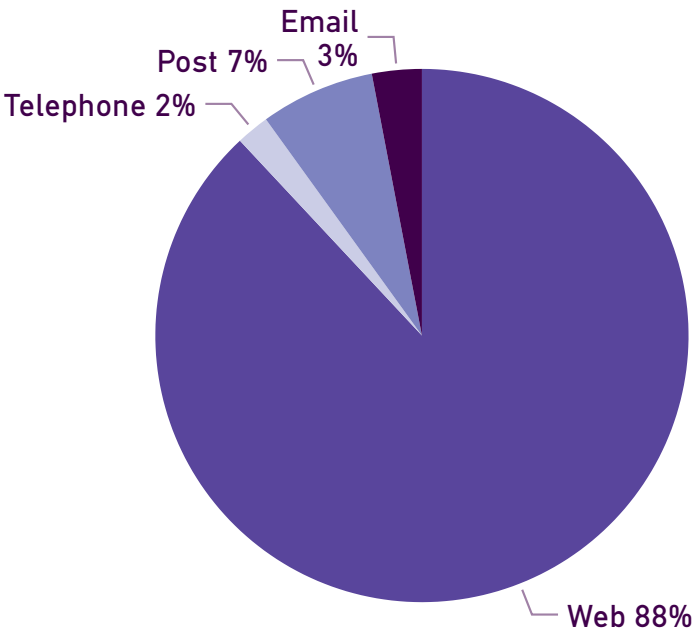
● In Scope ● Out of Scope



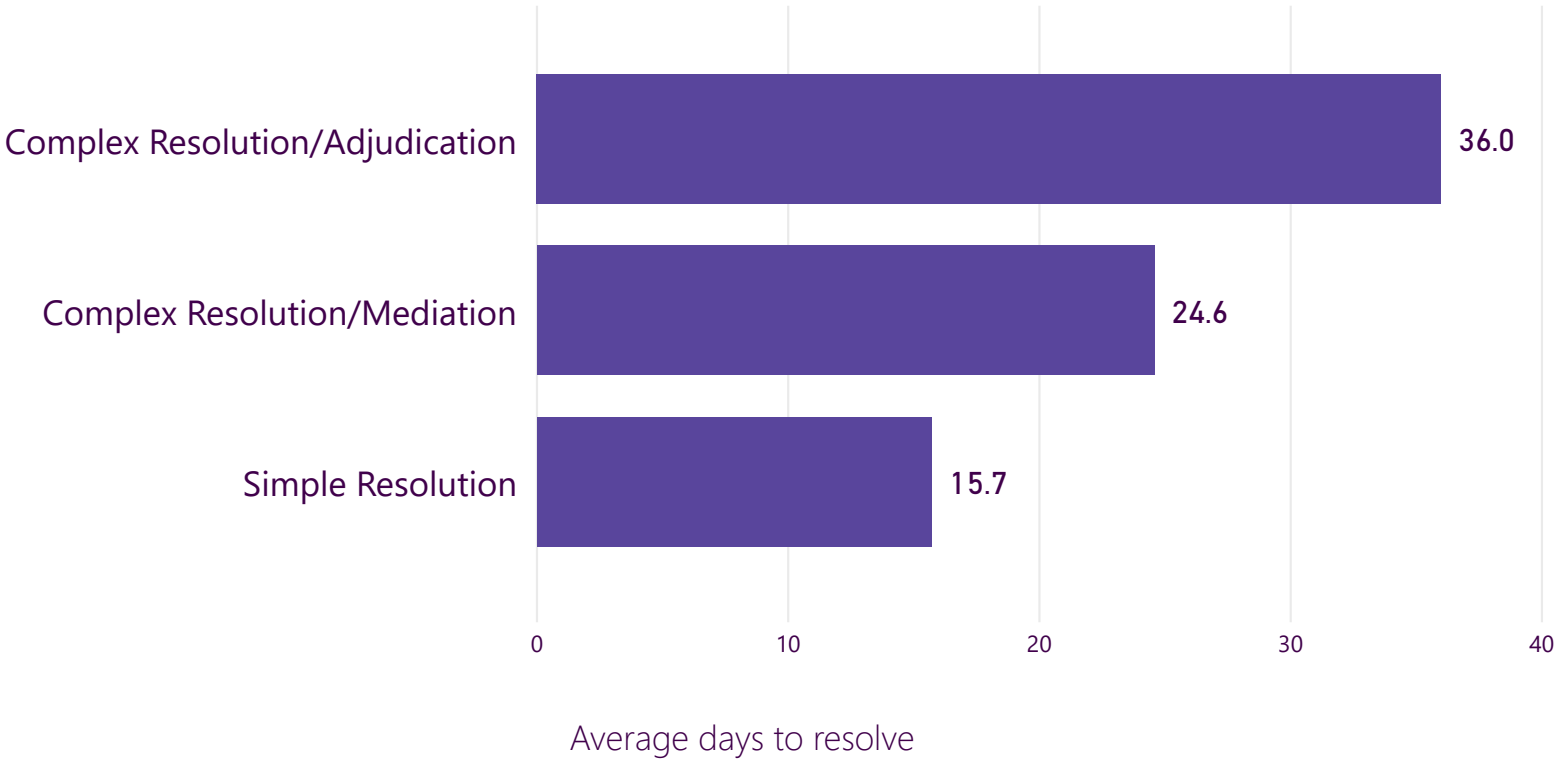
#### 4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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

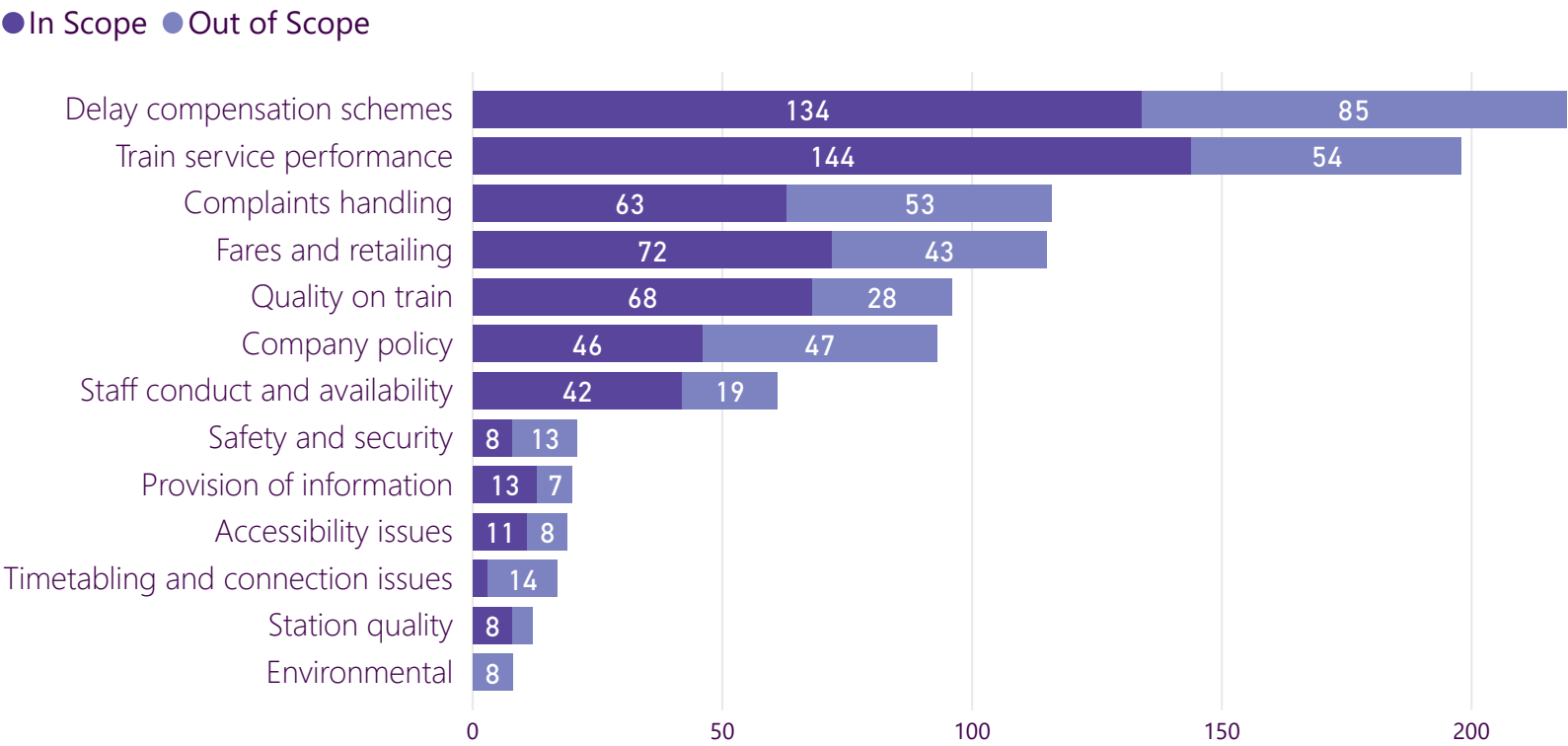
Channel	Vol. of complaints
Web	876
Post	69
Email	30
Telephone	20
<b>Total</b>	<b>995</b>



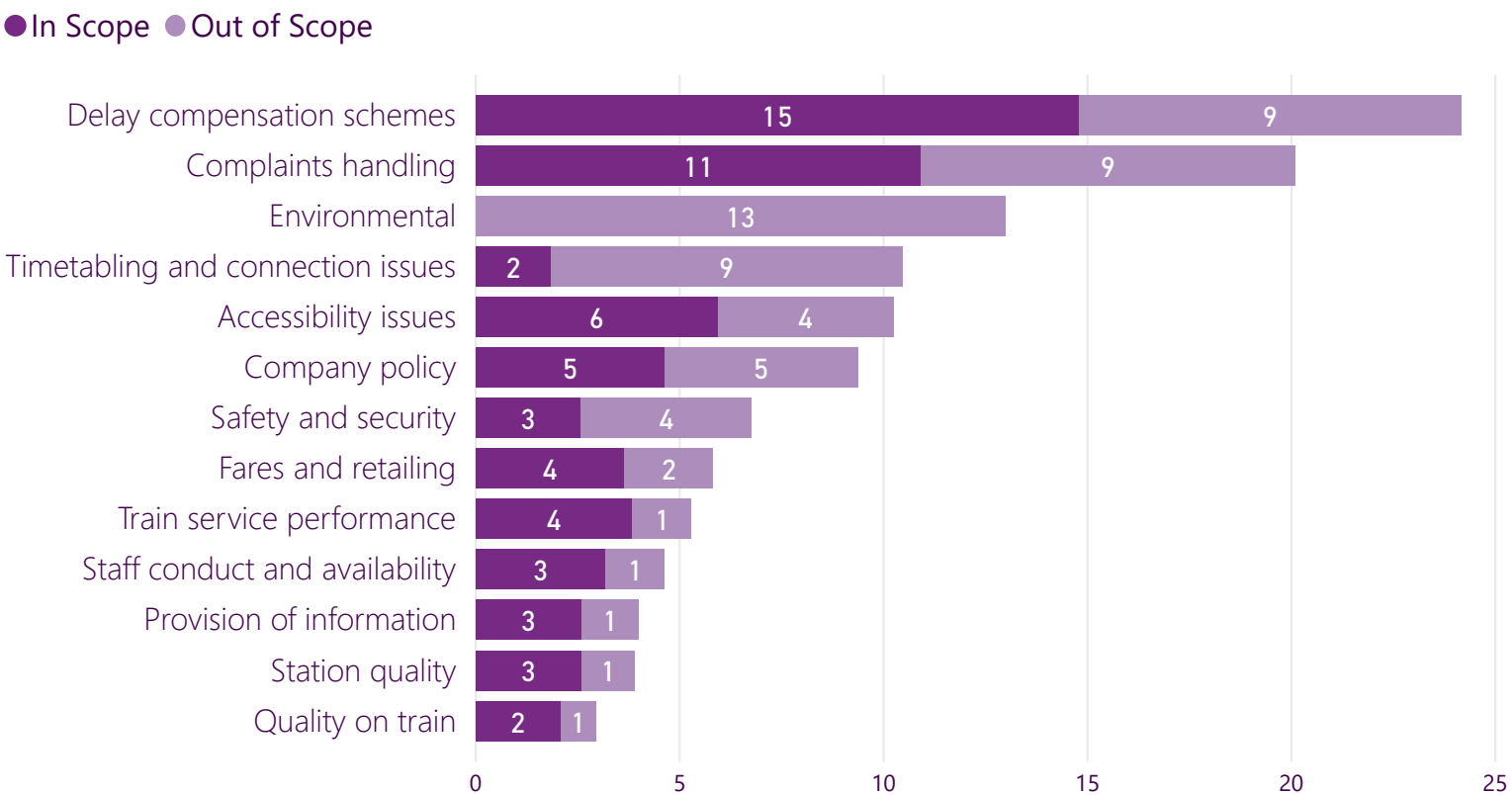
#### 5. Average time to close In Scope complaints in working days



6. Complaints assessed by the Rail Ombudsman, by top level complaint category



7. Complaints assessed by the Rail Ombudsman, by top level complaint category per 1000 complaints handled by Participating Rail Operating Companies



Using the above chart it is possible to identify the complaint categories that most commonly resulted in escalations to the Rail Ombudsman.



## 8. Complaints assessed by the Rail Ombudsman, by second level category

Top level category	Second level category	Vol. of complaints
Accessibility issues	Assistance staff	2
Accessibility issues	Booked assistance not provided at station	8
Accessibility issues	Disabled toilets at station/on train	1
Accessibility issues	Lack of disabled facilities at station/on train	1
Accessibility issues	Lack of information	1
Accessibility issues	Other	4
Accessibility issues	The ease of being able to get on and off	2
Company policy	Onboard policy	4
Company policy	Other	6
Company policy	Ticketing and refunds policy	83
Complaints handling	Complaint not received	1
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	59
Complaints handling	No response from Participating Rail Operating Company	20
Complaints handling	Other	4
Complaints handling	Response time	6
Complaints handling	Unhappy at type/level of compensation	26
Delay compensation schemes	Compensation claim rejected	83
Delay compensation schemes	Compensation claims process	41
Delay compensation schemes	Level of compensation	37
Delay compensation schemes	Other	14
Delay compensation schemes	Participating Rail Operating Company processing error	8
Delay compensation schemes	Speed of response	36
Environmental	Noise pollution	2
Environmental	Other	3
Environmental	Overgrown vegetation	3
Fares and retailing	Other	37
Fares and retailing	Smartcards	28
Fares and retailing	Ticket buying facilities	33
Fares and retailing	Value for money of ticket price	17
Provision of information	Other	9
Provision of information	Provision of information about train times/platforms	5
Provision of information	Provision of information on website or mobile apps	2
Provision of information	The provision of information during the journey	4

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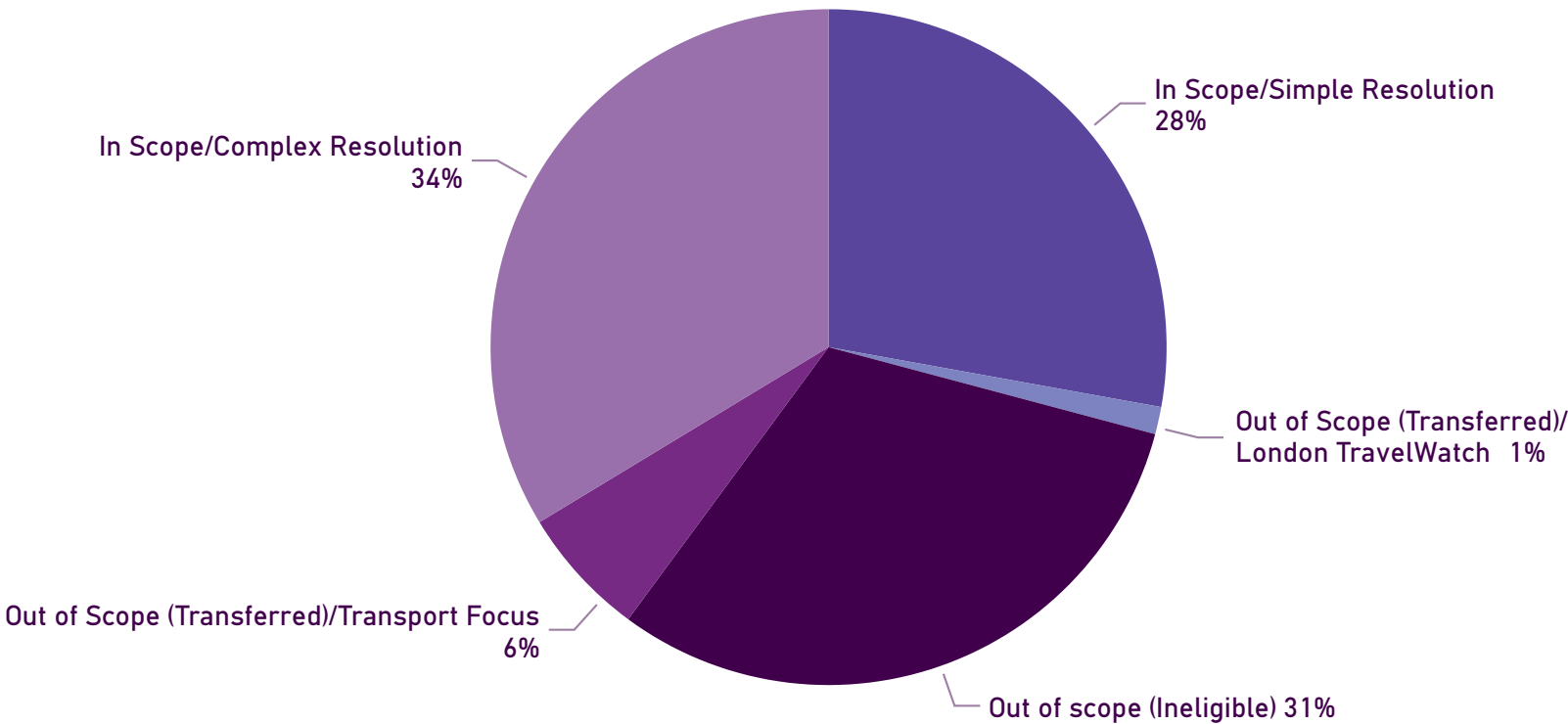
Top level category	Second level category	Vol. of complaints
Quality on train	Cleanliness of train	4
Quality on train	Facilities onboard	35
Quality on train	Other	11
Quality on train	Sufficient room for all passengers to sit/stand	21
Quality on train	The comfort of the seating area	2
Quality on train	The space for luggage	1
Quality on train	The toilet facilities	4
Quality on train	Upkeep and repair of the train	18
Safety and security	Other	5
Safety and security	Personal security onboard	8
Safety and security	Personal security whilst using station	8
Staff conduct and availability	How request to station staff was handled	4
Staff conduct and availability	Other	5
Staff conduct and availability	The attitudes and helpfulness of the staff at station	19
Staff conduct and availability	The availability of staff - at station	3
Staff conduct and availability	The helpfulness and attitude of other staff (not on train/not at station)	3
Staff conduct and availability	The helpfulness and attitude of staff on train	27
Station quality	Facilities for car parking	2
Station quality	Other	1
Station quality	The facilities and services	5
Station quality	The upkeep/repair of the station buildings/platforms	4
Timetabling and connection issues	Connections with other forms of public transport	1
Timetabling and connection issues	Connections with other train services	3
Timetabling and connection issues	Other	2
Timetabling and connection issues	Routing	1
Timetabling and connection issues	The frequency of the trains on that route	1
Timetabling and connection issues	Timetabling	9
Train service performance	Other	6
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	192

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

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

Classification Type	No. of complaints
In Scope/Complex Resolution	335
In Scope/Simple Resolution	277
Out of scope (Ineligible)	308
Out of Scope (Transferred)/London TravelWatch	13
Out of Scope (Transferred)/Transport Focus	62
<b>Total</b>	<b>995</b>

Of the 995 complaints assessed in Quarter 3, 62% (612 complaints) were In Scope, 31% (308) were deemed to be Out of Scope and Ineligible for the scheme (76% of which were due to no deadlock letter provided). 8% (75) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

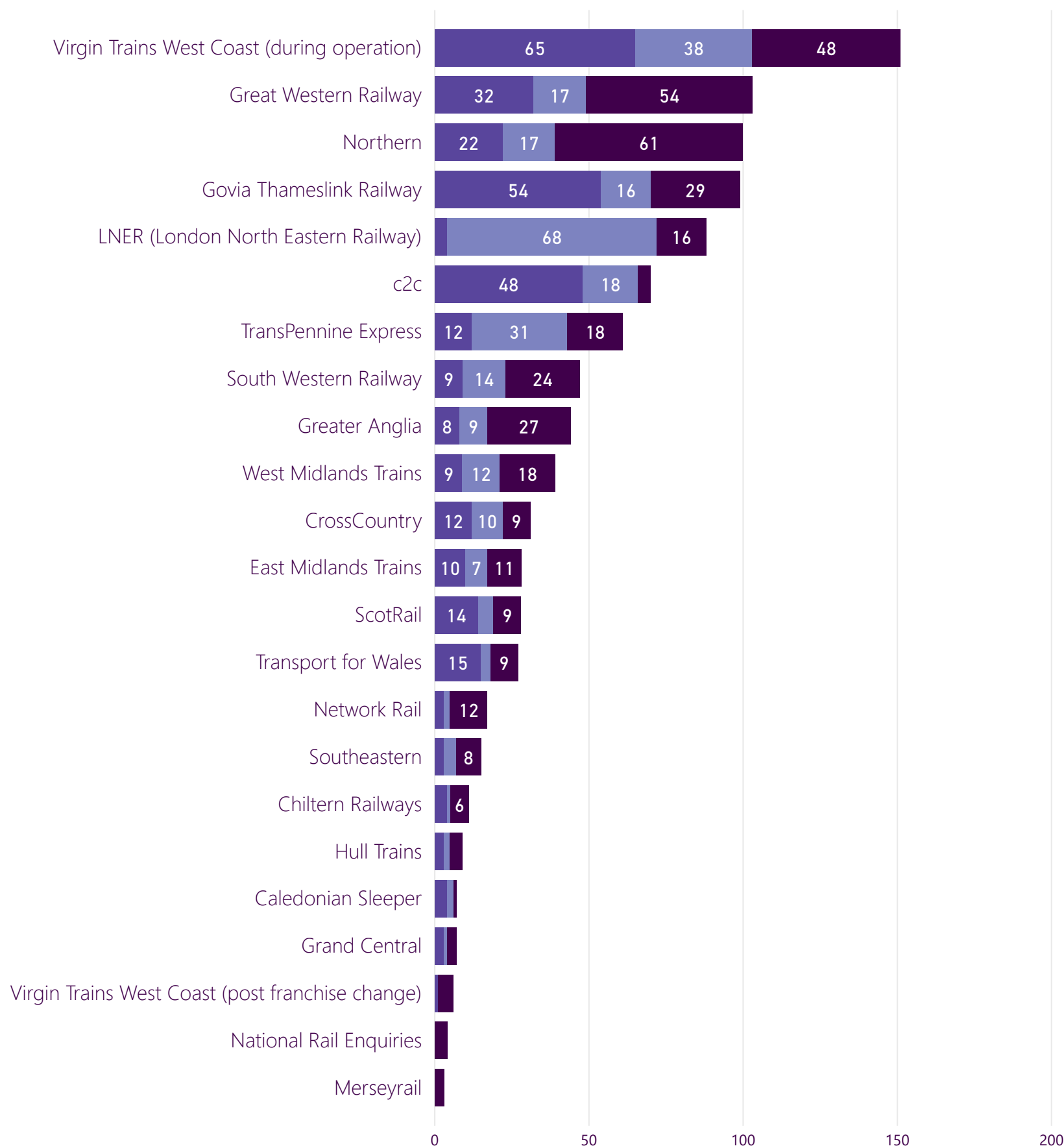


*Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.*

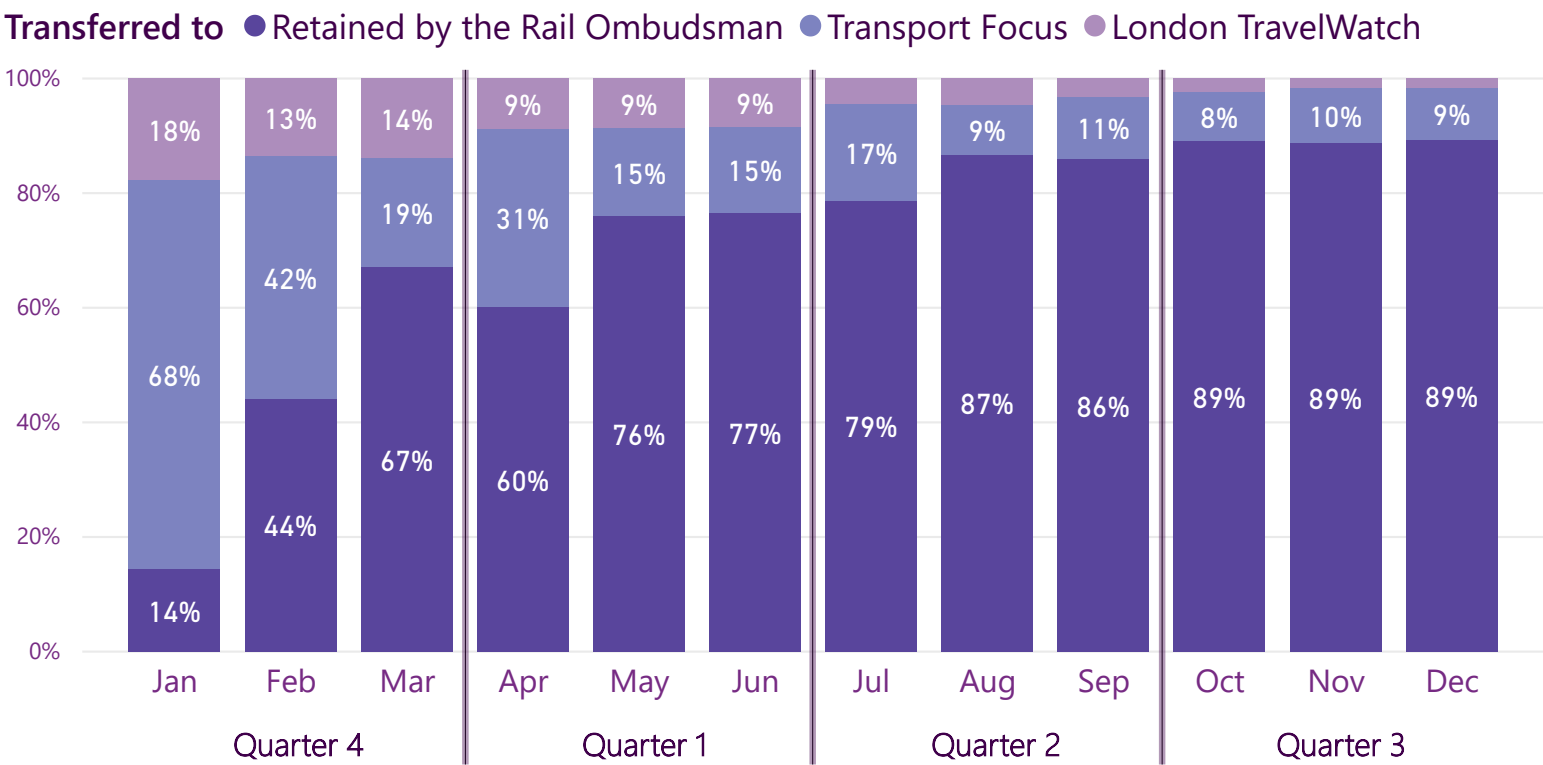
## 10. Complaint classifications by Participating Rail Operating Company

Complaints evaluated by the Rail Ombudsman during Quarter 3, by Participating Rail Operating Company.

● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of scope



## 11. Complaints retained by the Rail Ombudsman or transferred to consumer advocacy bodies, by month



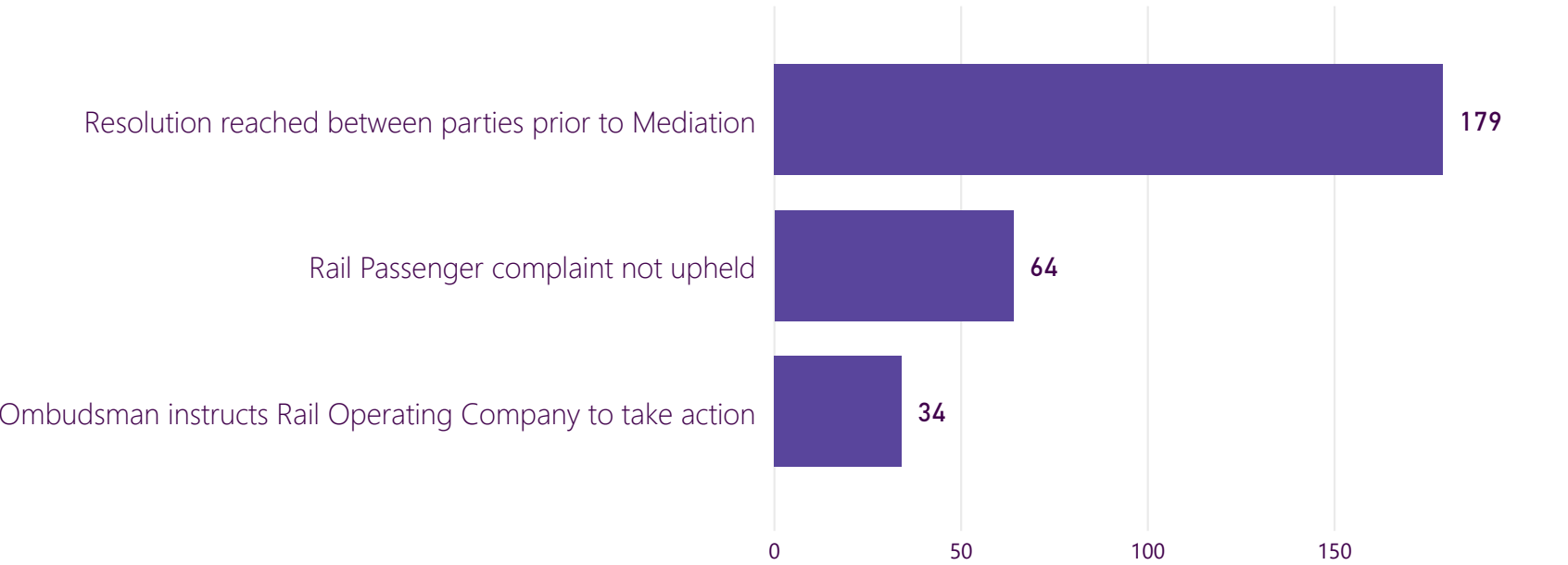
## 12. Out of Scope categories

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

Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
No deadlock letter provided	233	1	234
Policy issues	13	27	40
Penalty fare appeals	2	21	23
Action being taken by alternative channel	20	2	22
Already settled	12		12
Incident date prior to Ombudsman launch	1	11	12
Planned service alterations/closures		11	11
Residential or lineside issues	9		9
Personal injury claim	6		6
Consumer withdrew	5		5
Criminal claims	2	1	3
Campaigns/Petitions	1	1	2
Business to business	1		1
Human Resources	1		1
Parking charge notices	1		1
Vexatious or Frivolous Disputes	1		1
Total	308	75	383

13. Simple Resolution case outcomes

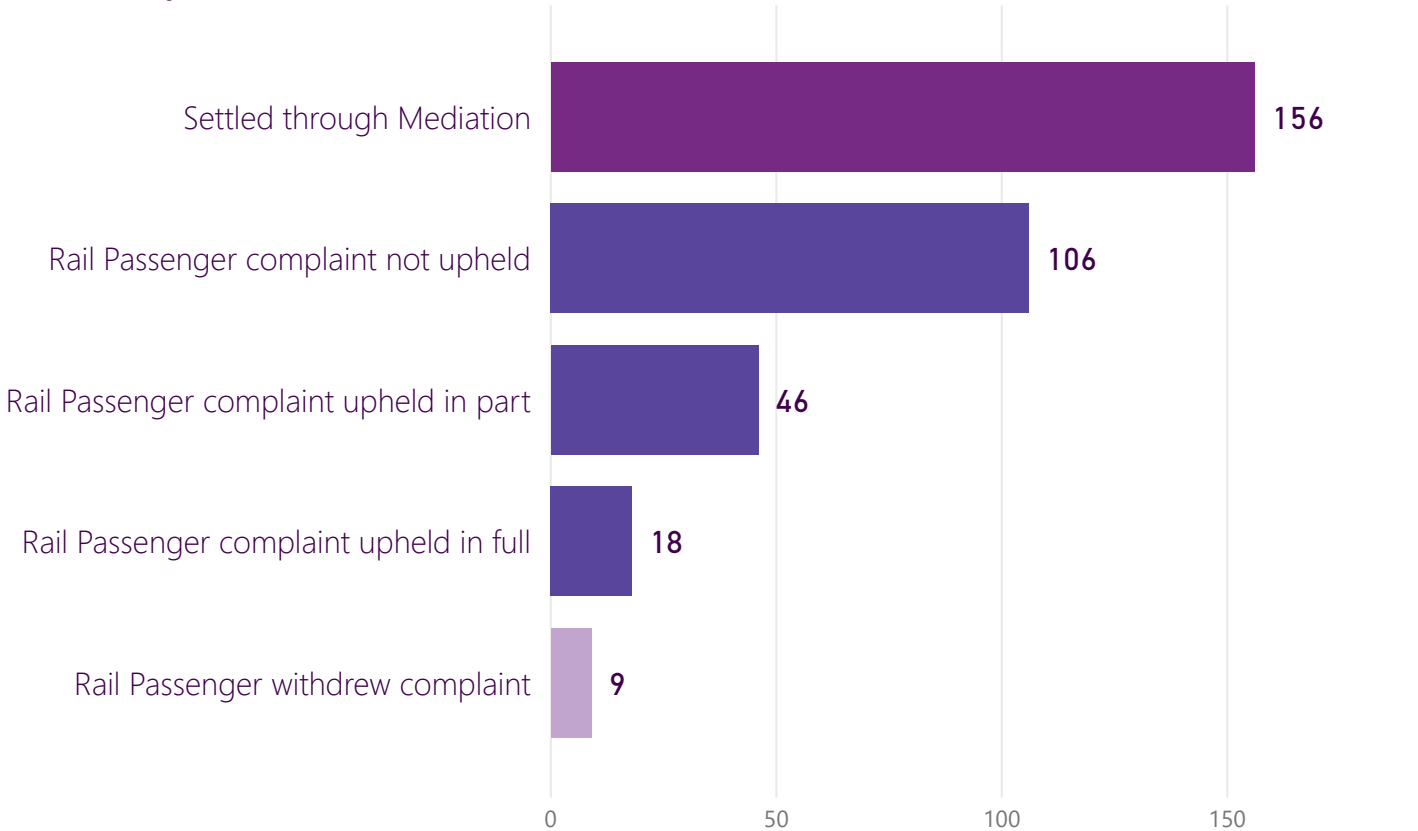
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

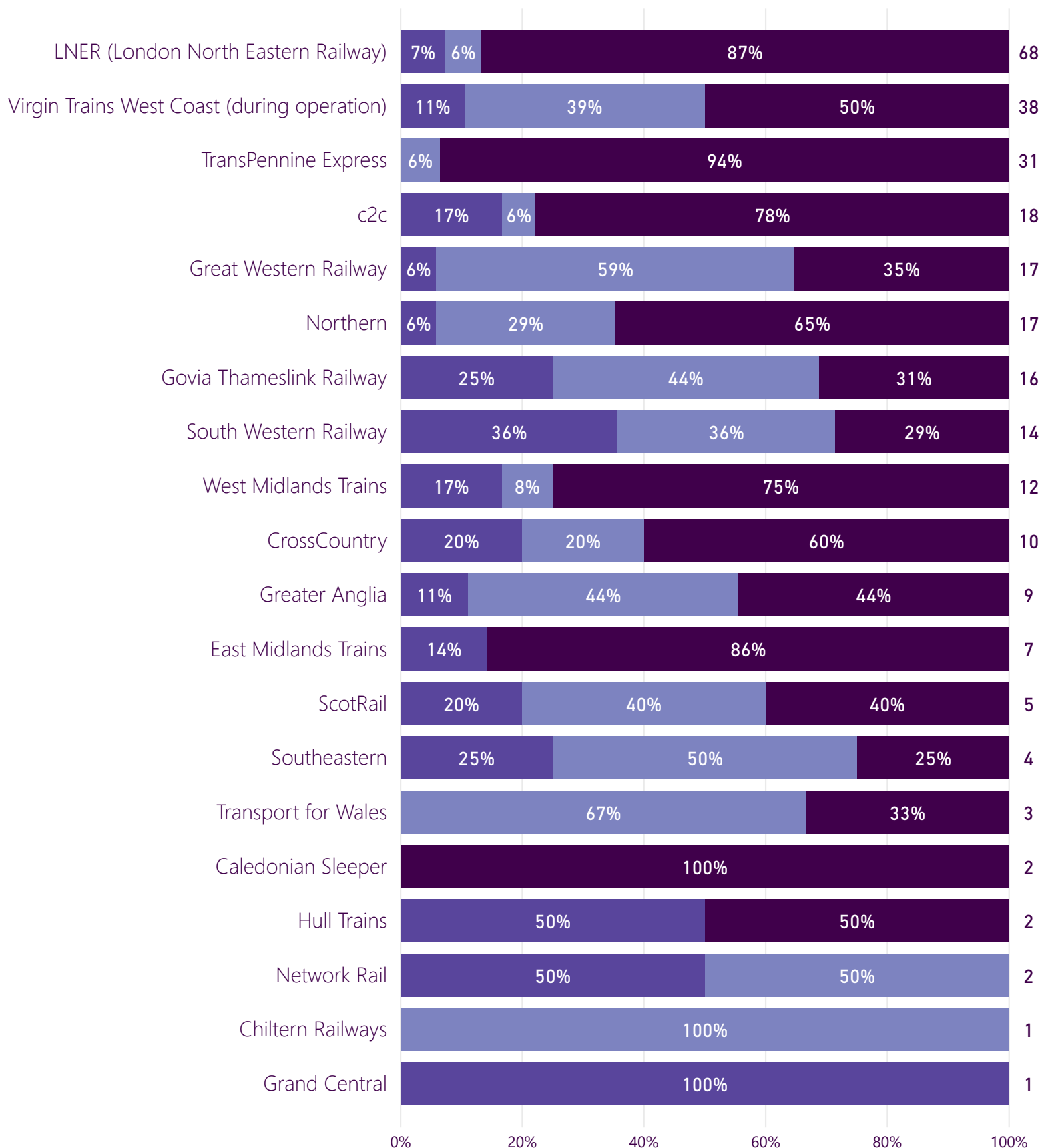




## 15. Simple Resolution case outcomes, by Participating Rail Operating Company

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

- Ombudsman instructs Rail Operating Company to take action
- Rail Passenger complaint not upheld
- Resolution reached between parties prior to Mediation

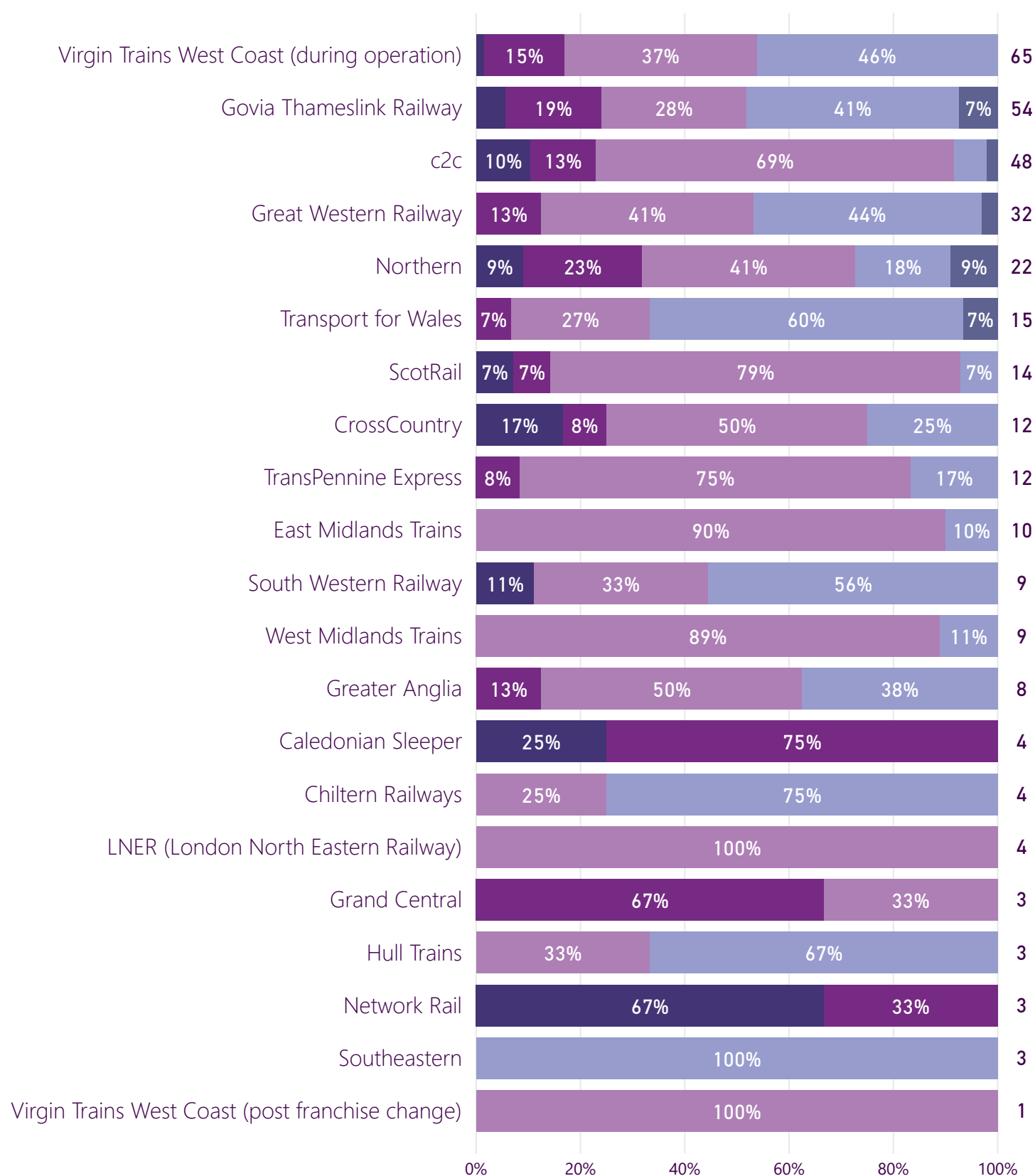




## 16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

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

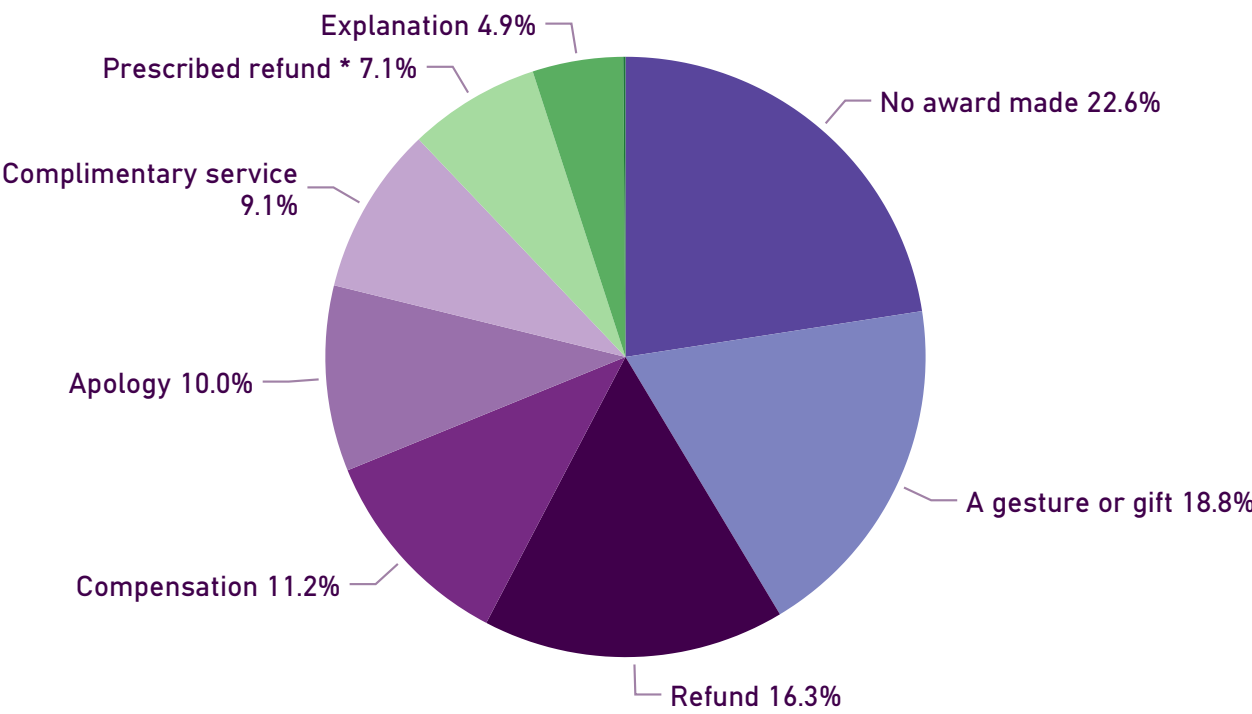




17. Resolution types and volume

Award type	No. of awards
A gesture or gift	162
Apology	86
Compensation	96
Complimentary service	78
Explanation	42
No award made	194
Prescribed refund *	61
Refund	140
Ticket reissue	1
<b>Total</b>	<b>860</b>

\* paid in accordance with the delay repay procedure



Note: Some closed complaints may have received more than one award type to reach resolution.

Average financial award  
made  
**£96**

Largest financial award  
made  
**£650 \***

\* excluding large season ticket refunds

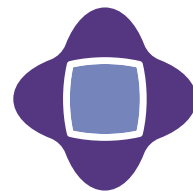


## 18. Resolution types and volume by Participating Rail Operating Company

Service Provider	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Ticket reissue	Total
LNER (London North Eastern Railway)	32	34	10	43	5	4	9	42		179
Virgin Trains (during operation)	26	4	16	4	1	48	14	9		122
c2c	21	12	15	6	10	6	7	24	1	102
Govia Thameslink Railway	9	1	10	2	4	37	3	8		74
TransPennine Express	27	12	5	1	2	4	4	17		72
Great Western Railway	8	2	3	4	3	25	2	4		51
Northern	4	2	8	7	4	9	9	5		48
West Midland Trains	4	5	2	3	1	3	3	8		29
ScotRail	7	3	2	2	5	4		5		28
East Midland Trains	7	4	5	1	2	2	3	3		27
Cross Country	5	1	3	1		8	2	3		23
South Western	2	1	4	1		12	1	2		23
Greater Anglia	1	2	2	1	3	8	1	4		22
Transport for Wales	5	1	1	1		10	1	2		21
Caledonian Sleeper Train		1	5				1	1		8
Southeastern	1				1	6				8
Chiltern Railways		1	1		1	3				6
Hull Trains			1			3		2		6
Network Rail	1		2			2		1		6
Grand Central	1		1	1			1			4
Virgin Trains (after transfer)	1									1
<b>Total</b>	<b>162</b>	<b>86</b>	<b>96</b>	<b>78</b>	<b>42</b>	<b>194</b>	<b>61</b>	<b>140</b>	<b>1</b>	<b>860</b>

\* paid in accordance with the delay repay procedure

# The Rail Ombudsman



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

Dates: 01/10/19 - 31/12/19