

# Quarterly Statistical Report

# Q1

Dates: 01/04/20 - 30/06/20

# Contents

Definitions	1
Notes	1
Key Facts	2
1. New complaints referred to the Rail Ombudsman for assessment, by month	2
2. Complaint volume by Participating Rail Operating Company	3
3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies	4
4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman	5
5. Average time to close In Scope complaints in working days	5
6. Complaints examined by the Rail Ombudsman, by top level complaint category	6
7. Complaints examined by the Rail Ombudsman, by top level complaint category per 1000 complaints handled by Participating Rail Operating Companies	6
8. Complaints assessed by the Rail Ombudsman, by second level category	7-8
9. Volumes assessed as In Scope or Out of Scope	9
10. Complaint classifications by Participating Rail Operating Company	10
11. Complaints retained by the Rail Ombudsman or transferred to consumer advocacy bodies, by month	11
12. Out of Scope categories	11
13. Simple Resolution case outcomes	12
14. Complex Resolution case outcomes	12
15. Simple Resolution case outcomes by Participating Rail Operating Company	13
16. Complex Resolution case outcomes by Participating Rail Operating Company	14
17. Resolution types and volume	15
18. Award types and volume by Participating Rail Operating Company	16

# 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 1 include complaints raised in the previous quarter.

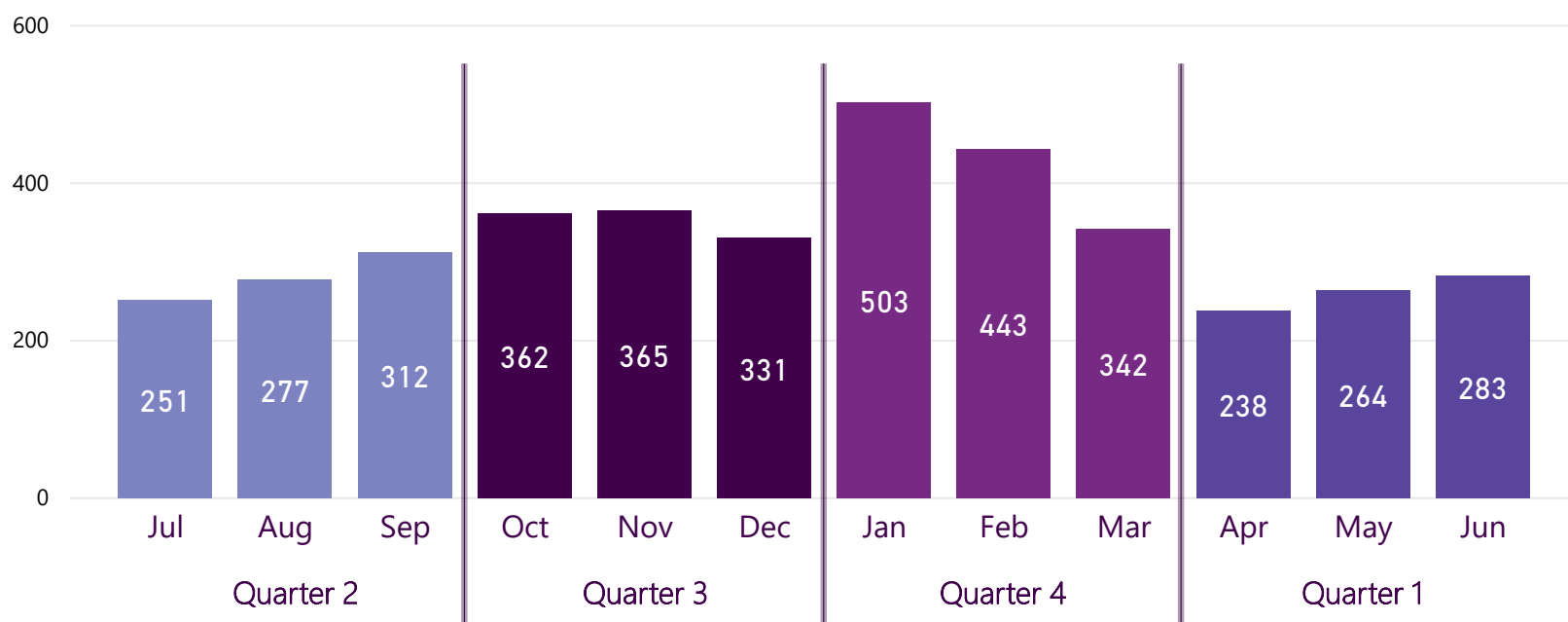


## Quarter 1: Key Facts

	Quarter 1	vs Quarter 4	vs Last Year Quarter 1
New cases referred to the Rail Ombudsman	785	-39%	+24%
Cases evaluated by the Rail Ombudsman	799	-41%	+29%
% Cases found to be In Scope for the scheme	62%	+2% pts	+13% pts
% Eligible cases referred to consumer advocacy bodies	11%	+2% pts	-19% pts
% Cases found to be Out of Scope: Ineligible	30%	-4% pts	+0% pts
Average financial award (where financial award secured)	£131	+52%	+85%

Delay compensation and complaint handling were the most common complaint categories with these alone accounting for 47% 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 1: 785

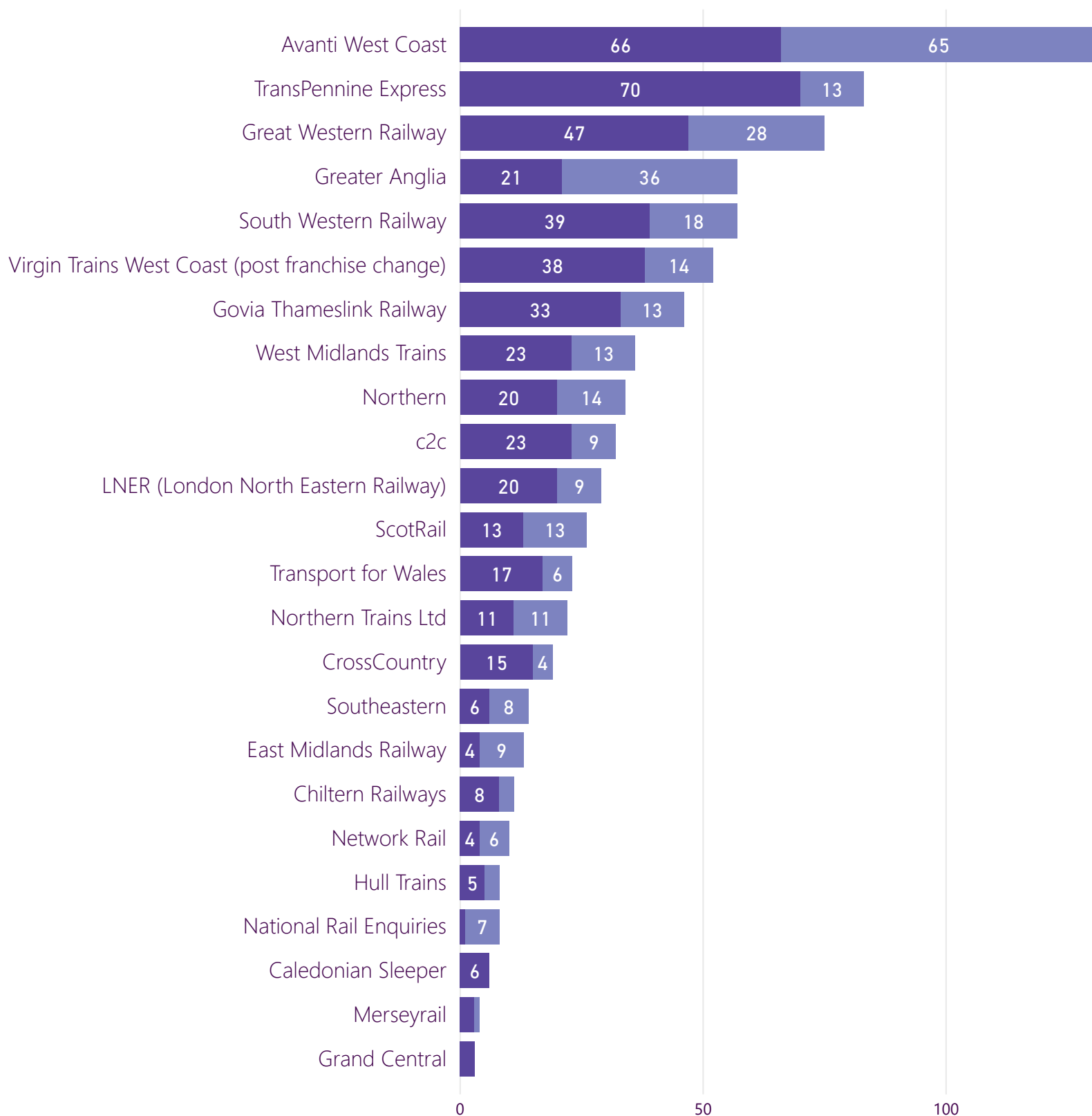
The above chart covers complaints referred to the Rail Ombudsman during Quarter 1 and includes both In Scope and Out of Scope complaints. Note: Outcomes of some of these will carry forward into the next Quarter.



## 2. Complaint volume by Participating Rail Operating Company

Volume of complaints assessed during Quarter 1 by Rail Operating Company.

● In Scope ● Out of Scope

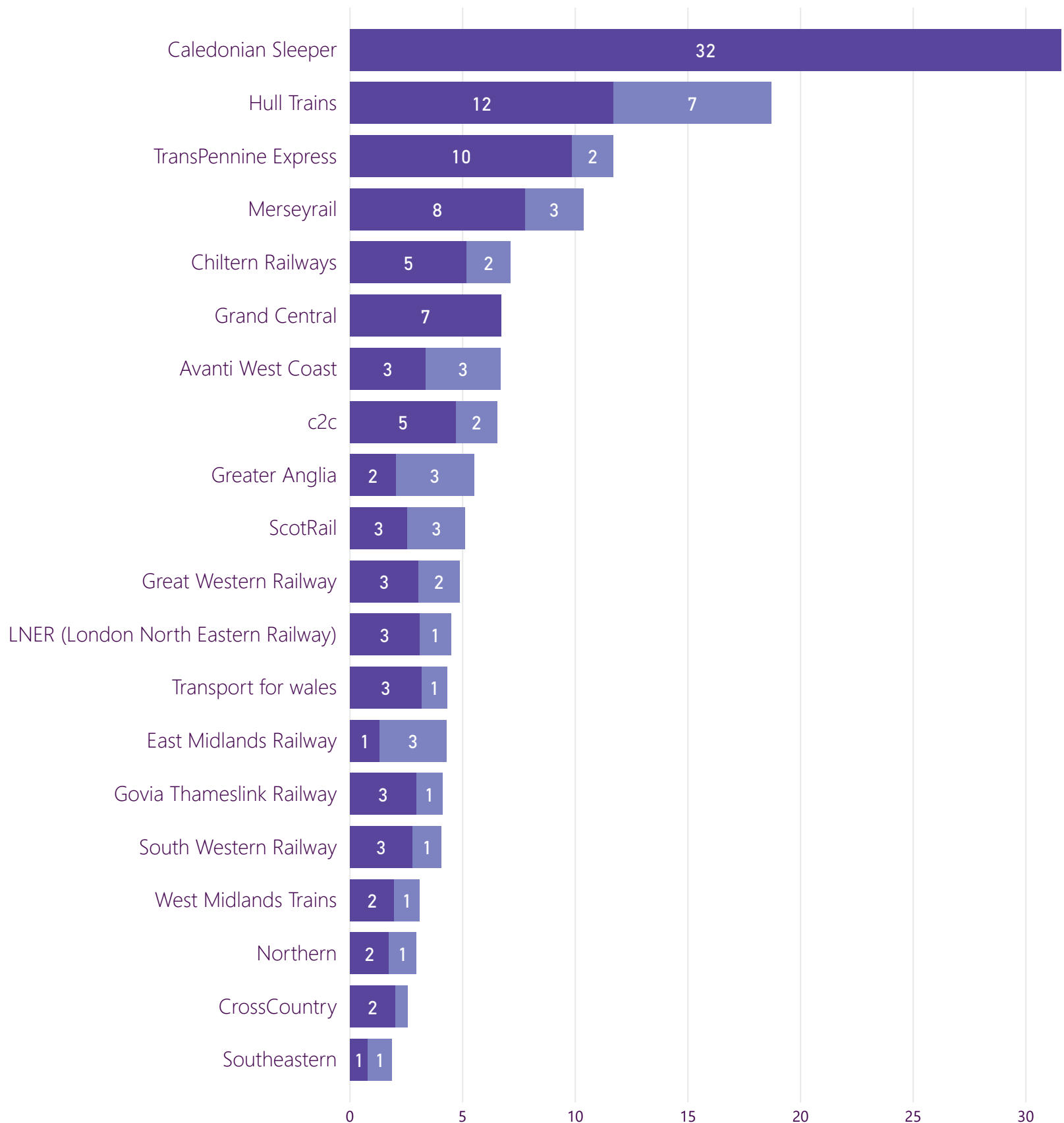




### 3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

Volume of complaints assessed during Quarter 1 by Participating Rail Operating Company, normalised by Rail Operator complaints (scaled by 1000s for ease of reading).

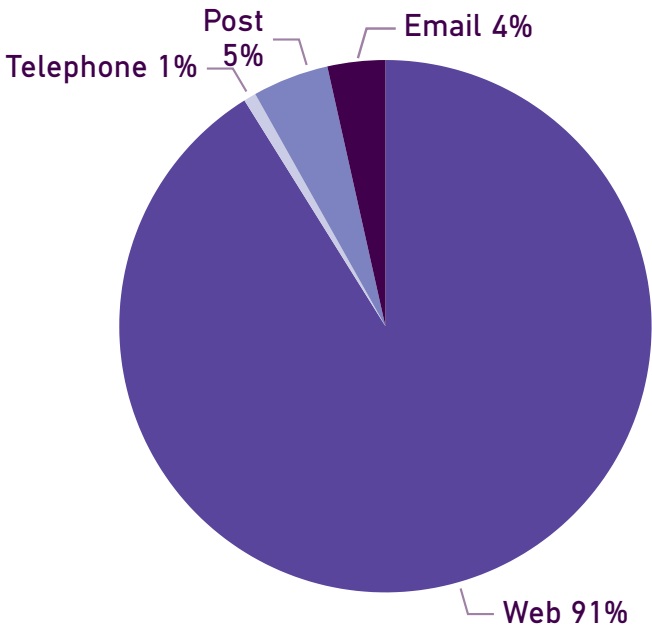
● In Scope ● Out of Scope



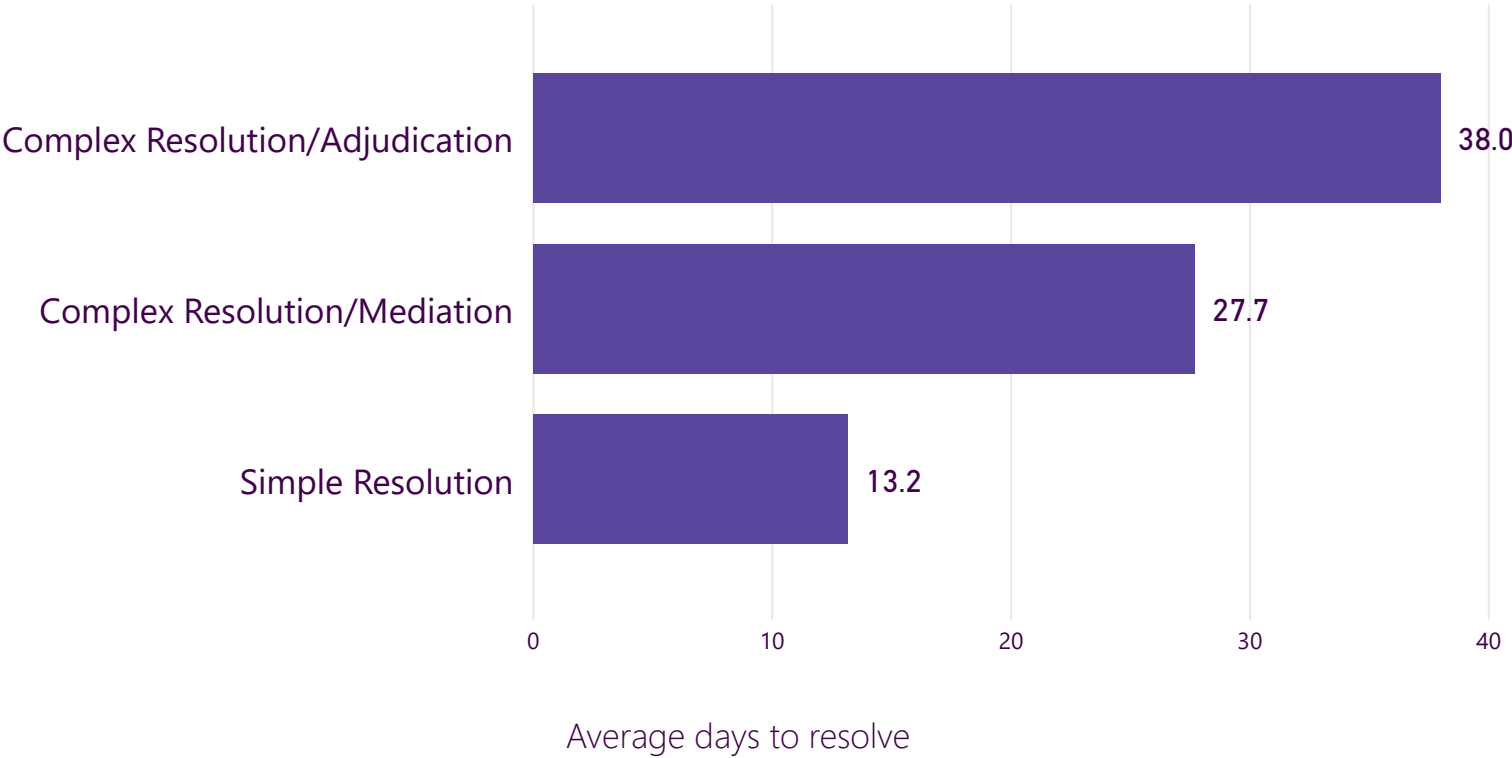
#### 4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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	728
Post	37
Email	28
Telephone	6
<b>Total</b>	<b>799</b>



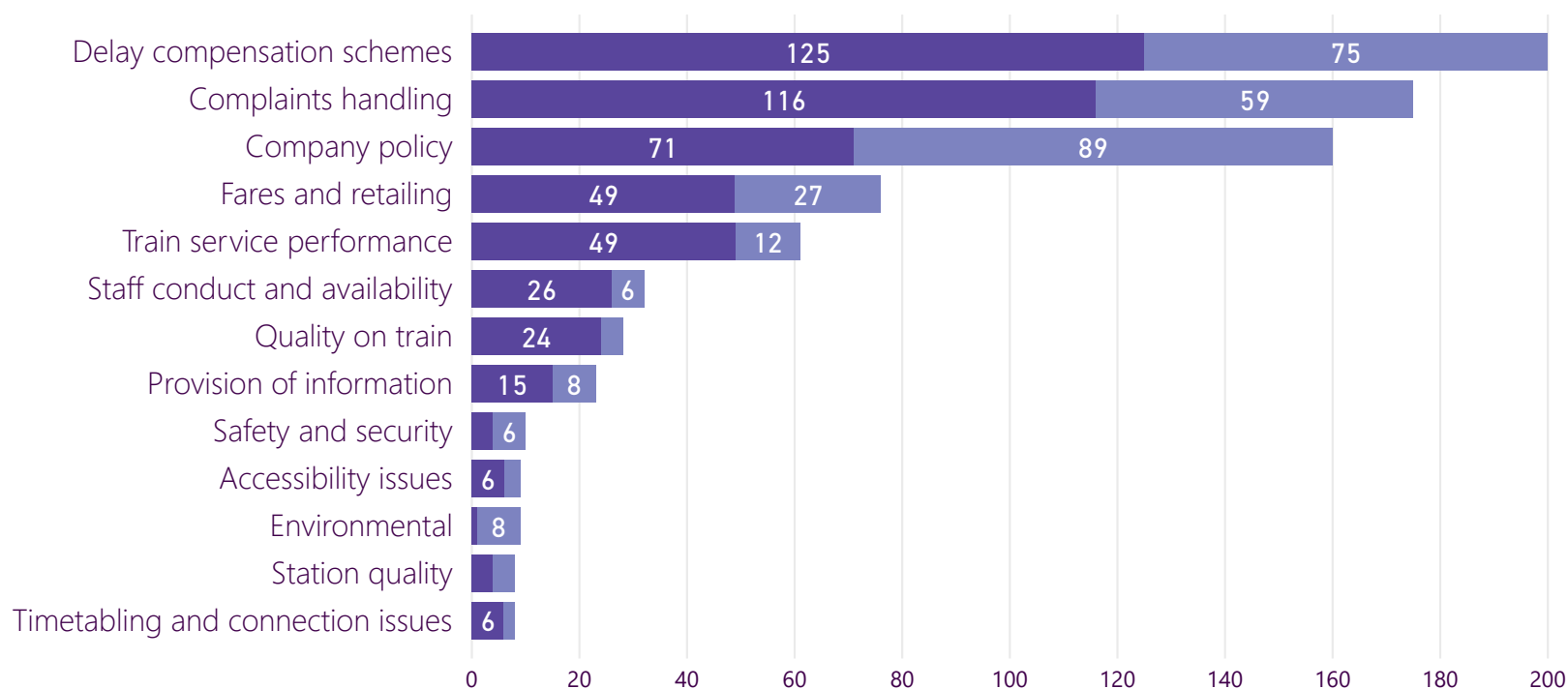
#### 5. Average time to close In Scope complaints in working days





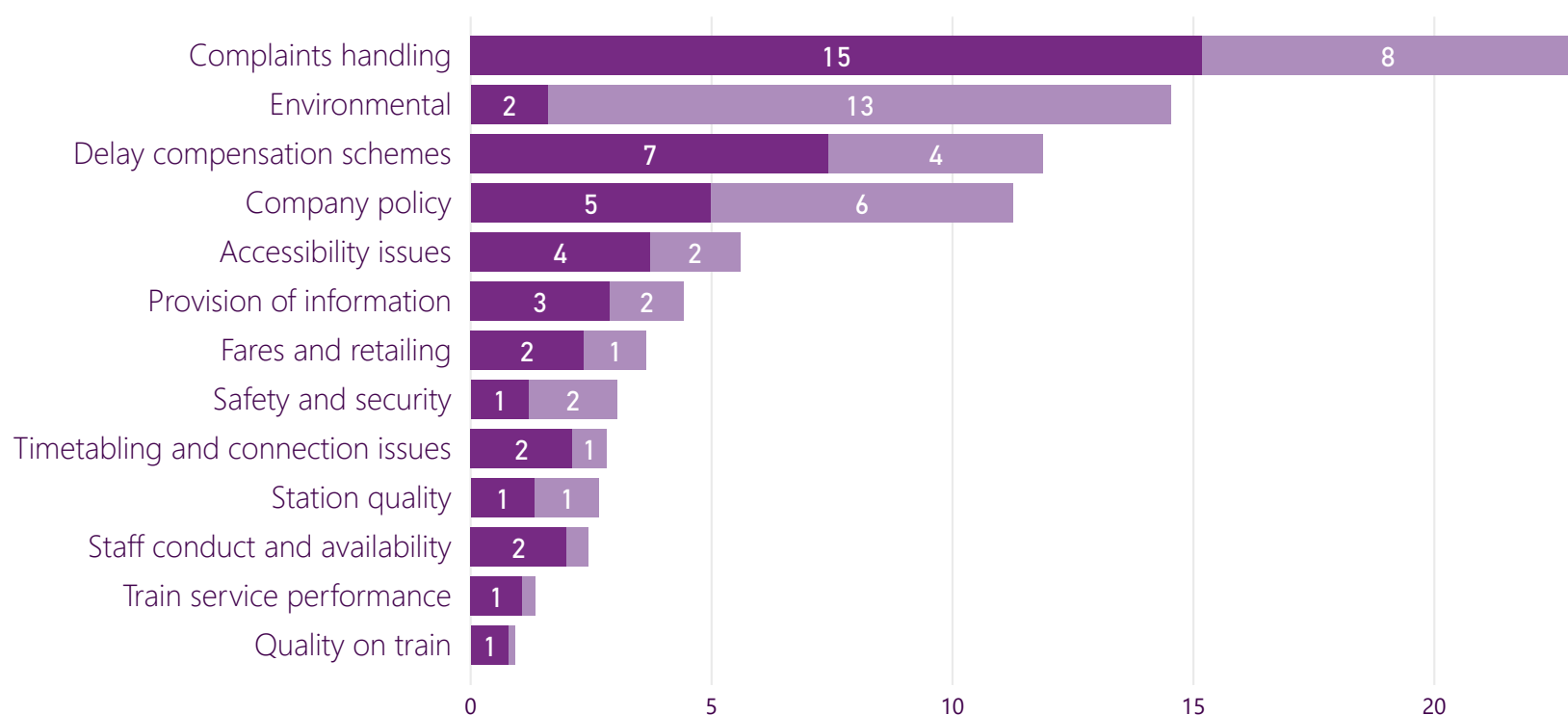
## 6. Complaints assessed by the Rail Ombudsman, by top level complaint category

● In Scope ● Out of Scope



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

● In Scope ● Out of Scope



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	Booked assistance not provided at station	2
Accessibility issues	Booked assistance not provided on train	2
Accessibility issues	Lack of disabled facilities at station/on train	2
Accessibility issues	Other	1
Accessibility issues	Unbooked assistance not provided on train	1
Accessibility issues	Wheelchair space on train	1
Company policy	Other	4
Company policy	Ticketing and refunds policy	156
Complaints handling	Complaint not received	2
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	94
Complaints handling	No response from Participating Rail Operating Company	27
Complaints handling	Other	11
Complaints handling	Response time	15
Complaints handling	Staff member was impolite/unhelpful	2
Complaints handling	Unhappy at type/level of compensation	24
Delay compensation schemes	Compensation claim rejected	87
Delay compensation schemes	Compensation claims process	26
Delay compensation schemes	Level of compensation	27
Delay compensation schemes	Other	16
Delay compensation schemes	Participating Rail Operating Company processing error	12
Delay compensation schemes	Speed of response	32
Environmental	Noise pollution	6
Environmental	Other	3
Fares and retailing	Other	39
Fares and retailing	Smartcards	13
Fares and retailing	Ticket buying facilities	13
Fares and retailing	Value for money of ticket price	11
Provision of information	Other	4
Provision of information	Provision of information about train times/platforms	8
Provision of information	Provision of information on website or mobile apps	3
Provision of information	The provision of information during the journey	8

*Continued on next page.*

*Continued from previous page.*

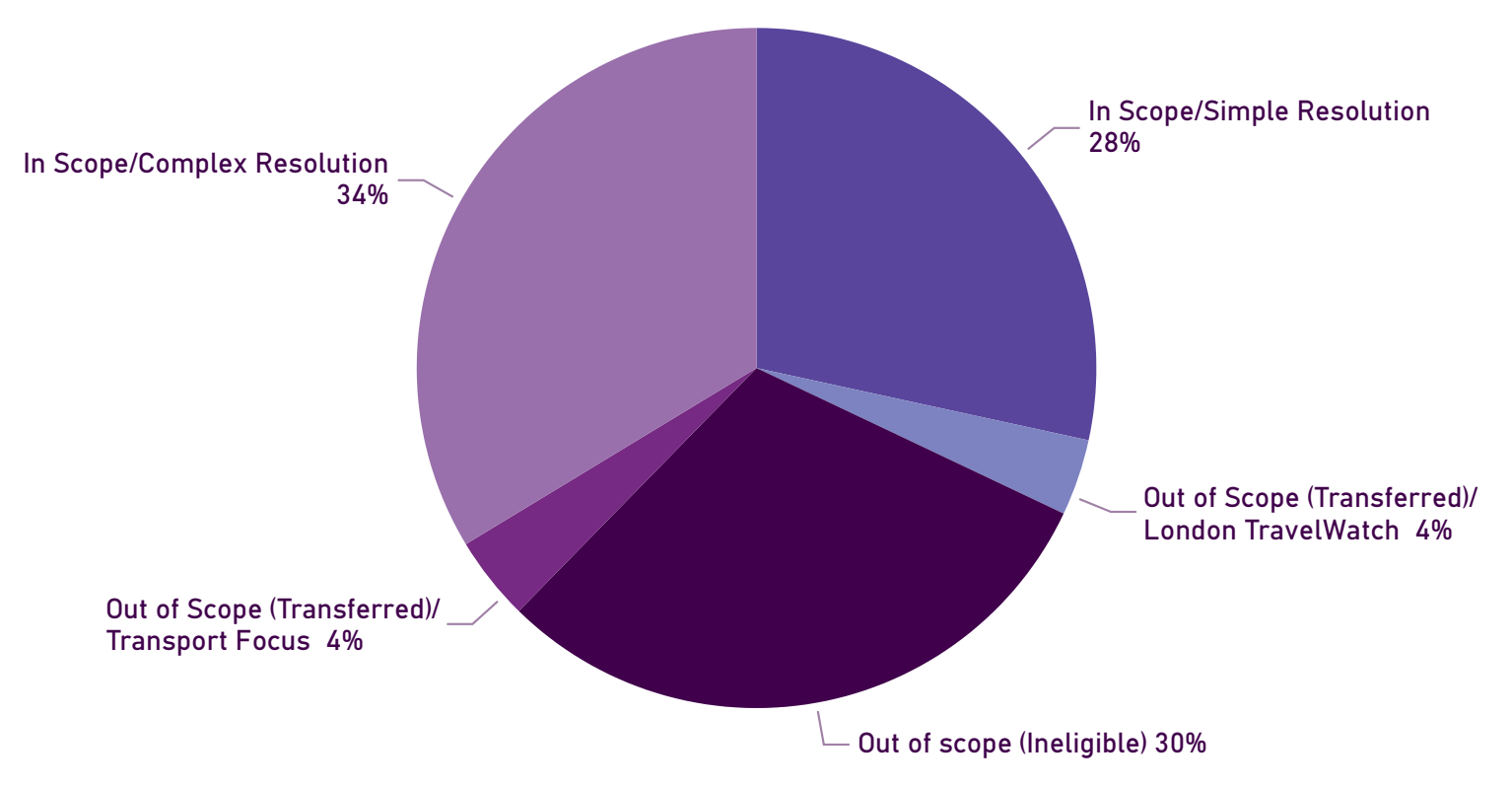
Top level category	Second level category	Vol. of complaints
Quality on train	Facilities onboard	11
Quality on train	Other	2
Quality on train	Sufficient room for all passengers to sit/stand	13
Quality on train	Upkeep and repair of the train	2
Safety and security	Other	4
Safety and security	Personal security onboard	4
Safety and security	Personal security whilst using station	2
Staff conduct and availability	How request to station staff was handled	6
Staff conduct and availability	Other	4
Staff conduct and availability	The attitudes and helpfulness of the staff at station	9
Staff conduct and availability	The availability of staff - at station	1
Staff conduct and availability	The helpfulness and attitude of other staff (not on train/not at station)	2
Staff conduct and availability	The helpfulness and attitude of staff on train	10
Station quality	Facilities for car parking	4
Station quality	The facilities and services	3
Station quality	The upkeep/repair of the station buildings/platforms	1
Timetabling and connection issues	Connections with other forms of public transport	1
Timetabling and connection issues	Connections with other train services	2
Timetabling and connection issues	Other	2
Timetabling and connection issues	Timetabling	3
Train service performance	Other	9
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	52

### 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	269
In Scope/Simple Resolution	227
Out of scope (Ineligible)	242
Out of Scope (Transferred)/London TravelWatch	29
Out of Scope (Transferred)/Transport Focus	32
<b>Total</b>	<b>799</b>

Of the 799 complaints assessed in Quarter 1, 62% (496 complaints) were In Scope, 30% (242) were deemed to be Out of Scope and Ineligible for the scheme (67% of which were due to no deadlock letter provided). 8% (61) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

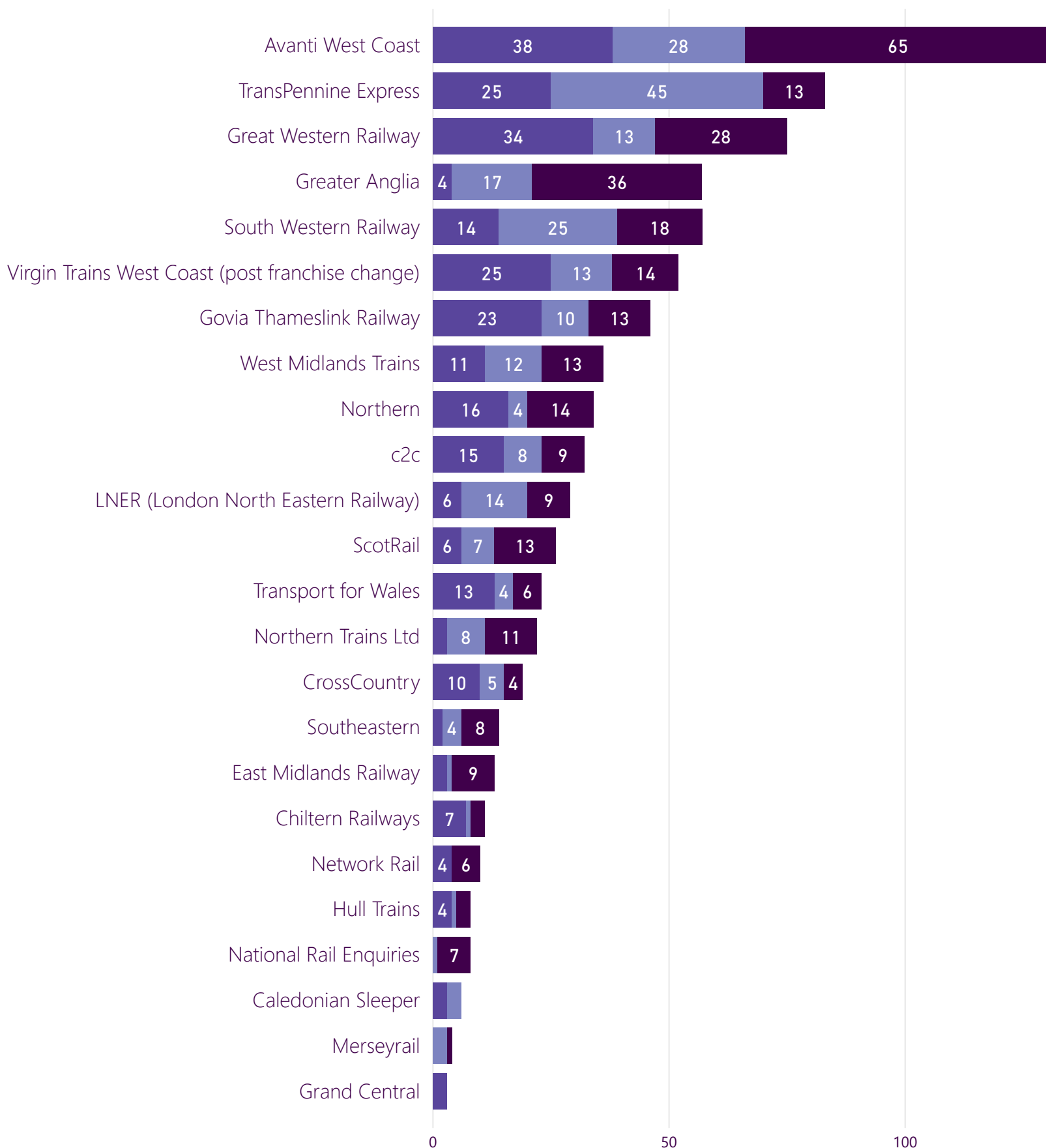


Complaints assessed include any carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.

## 10. Complaint classifications by Participating Rail Operating Company

Complaints evaluated by the Rail Ombudsman during Quarter 1, by Participating Rail Operating Company.

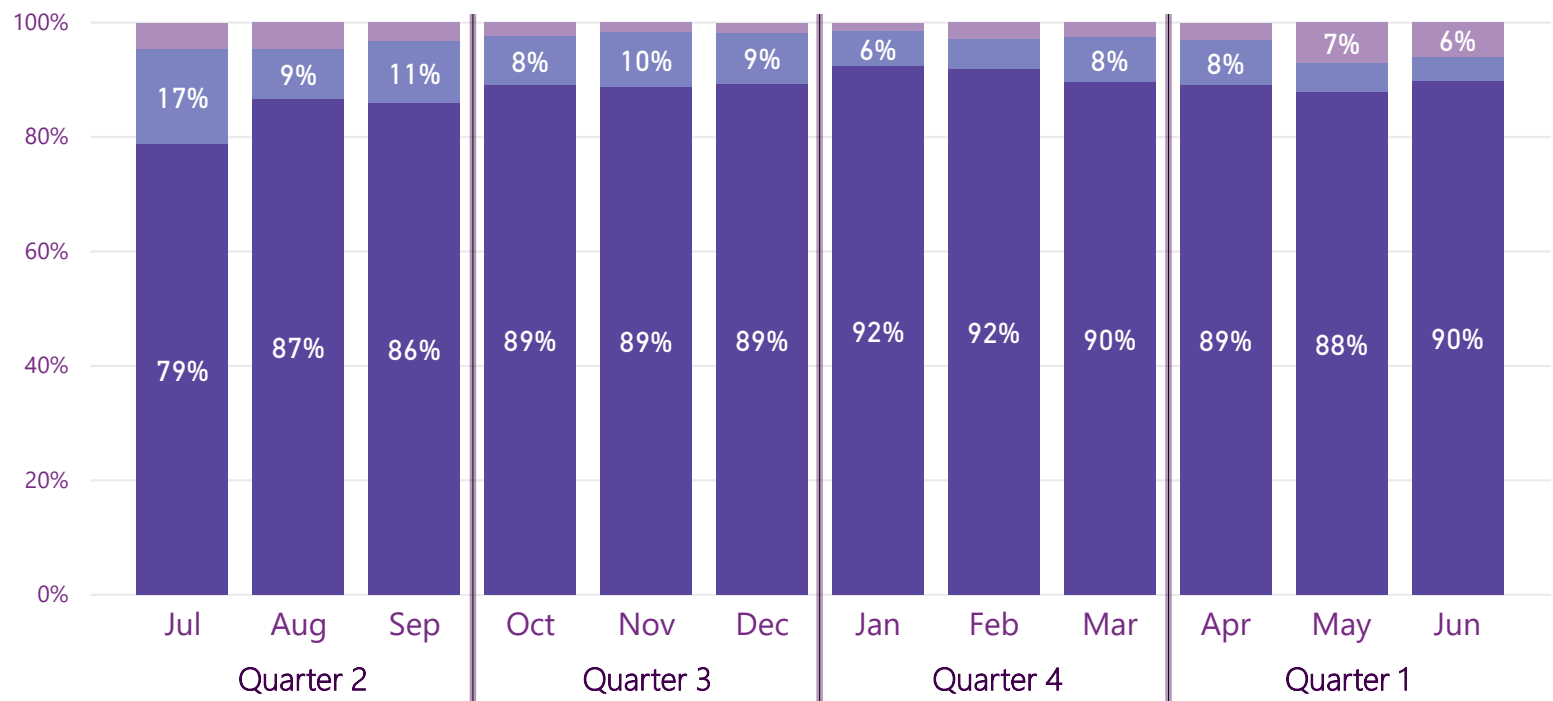
● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of Scope





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

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



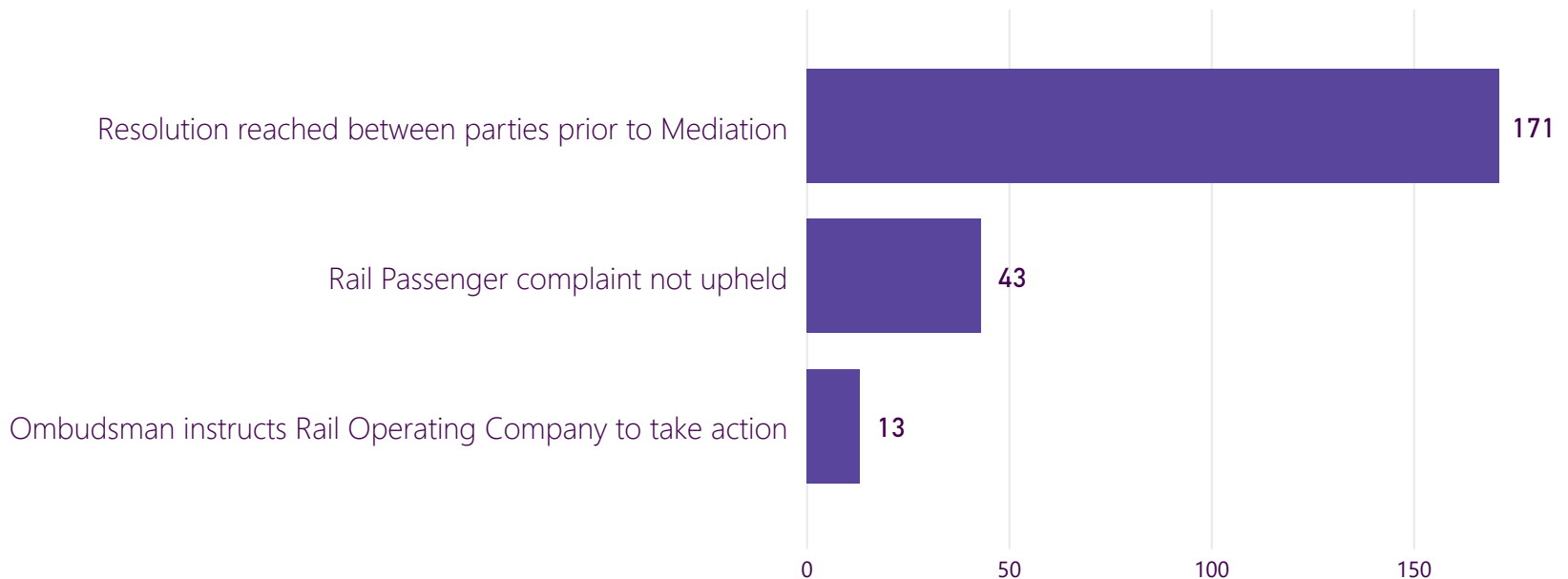
## 12. Out of Scope categories

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	164	1	165
Policy issues	3	29	32
Action being taken by alternative channel	17	6	23
Consumer withdrew	20		20
Already settled	18		18
Penalty fare appeals	2	16	18
Residential or lineside issues	9		9
Incident date prior to Ombudsman launch	1	5	6
Criminal claims		3	3
Personal injury claim	3		3
Parking charge notices	2		2
Business to business		1	1
Campaigns/Petitions	1		1
Parking ticket pricing	1		1
Vexatious or Frivolous Disputes	1		1
<b>Total</b>	<b>242</b>	<b>61</b>	<b>303</b>

## 13. Simple Resolution case outcomes

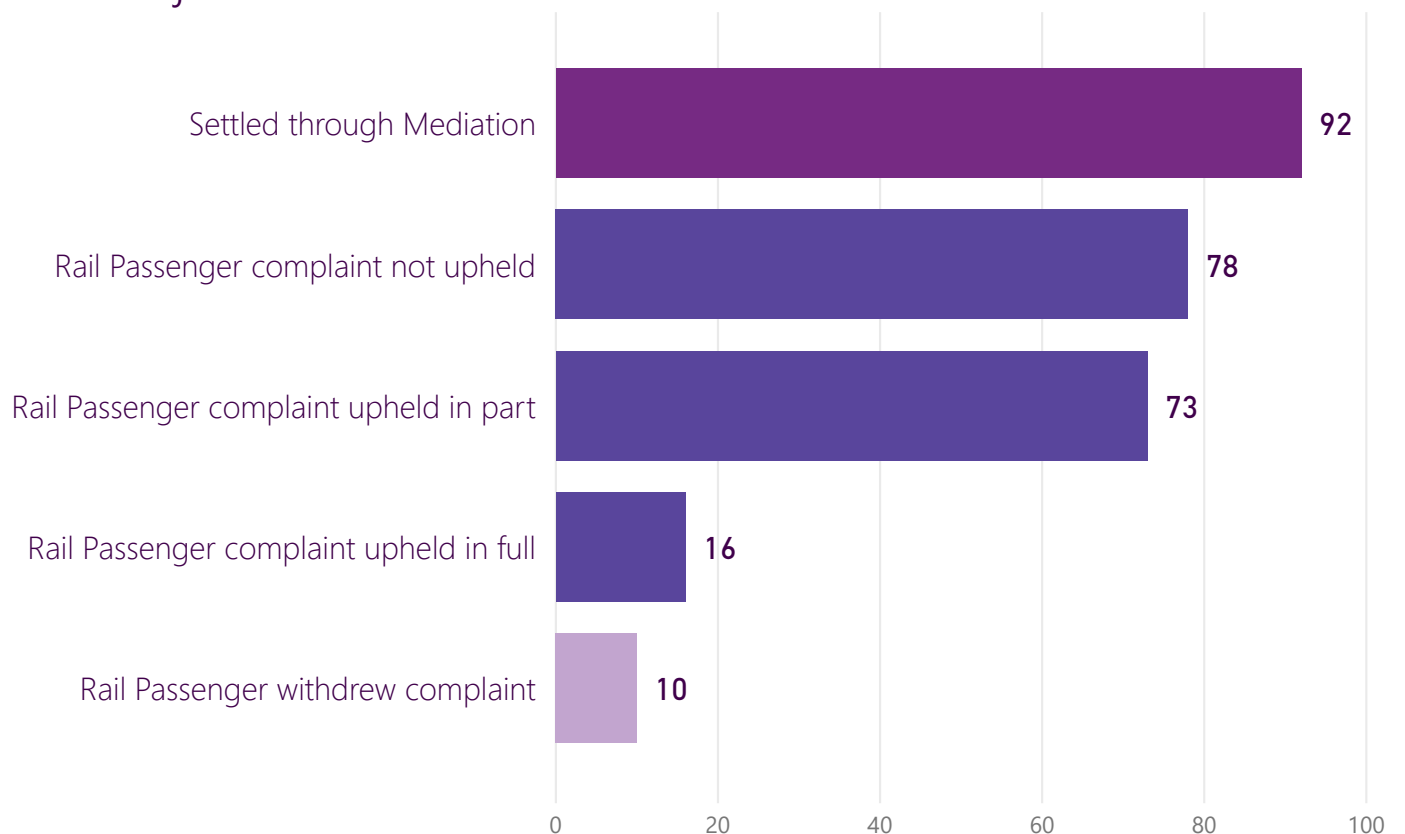
Outcomes of closed Simple Resolution cases.



## 14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

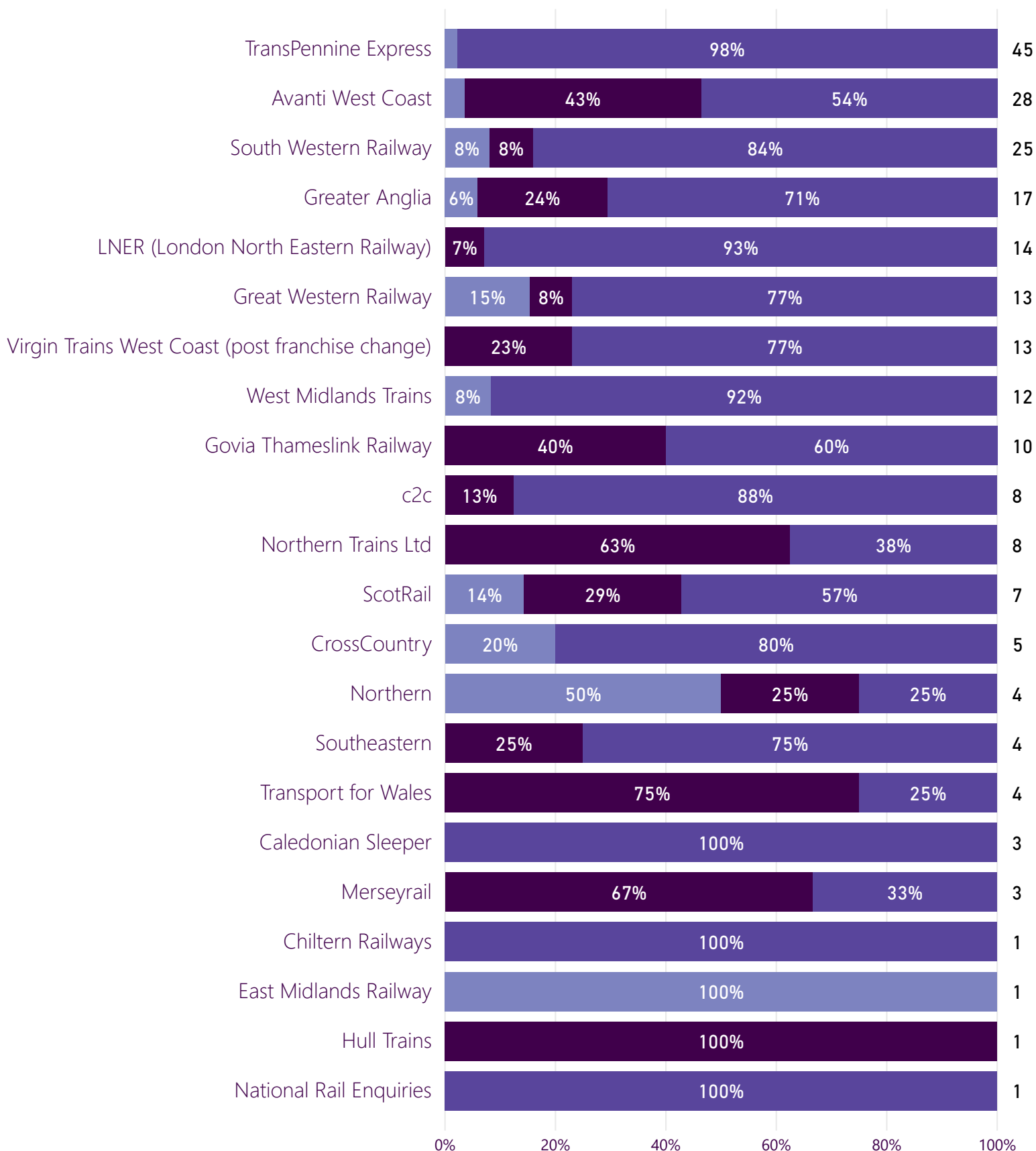




## 15. Simple Resolution case outcomes, by Participating Rail Operating Company

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

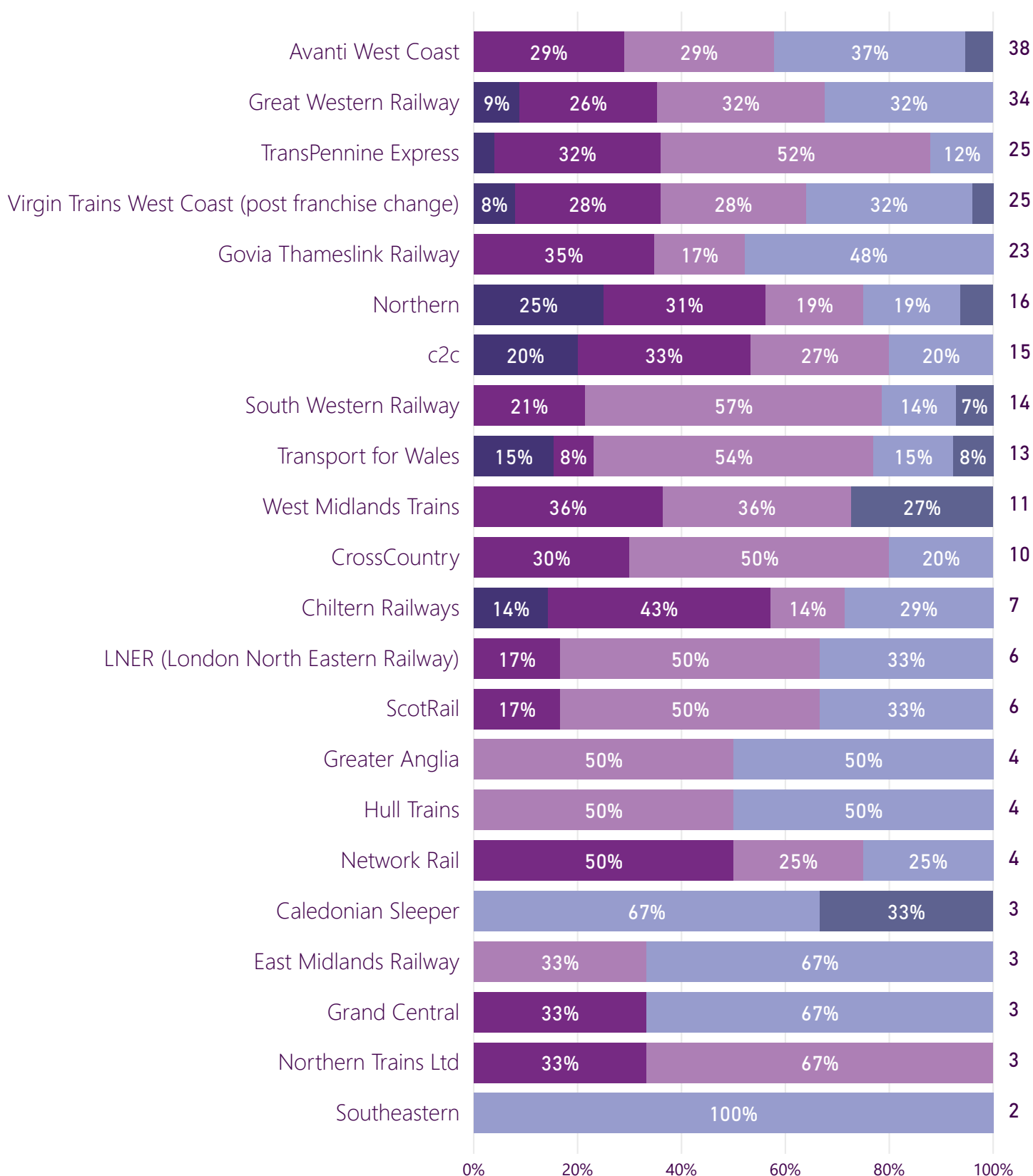




## 16. Complex Resolution case outcomes, by Participating Rail Operating Company

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



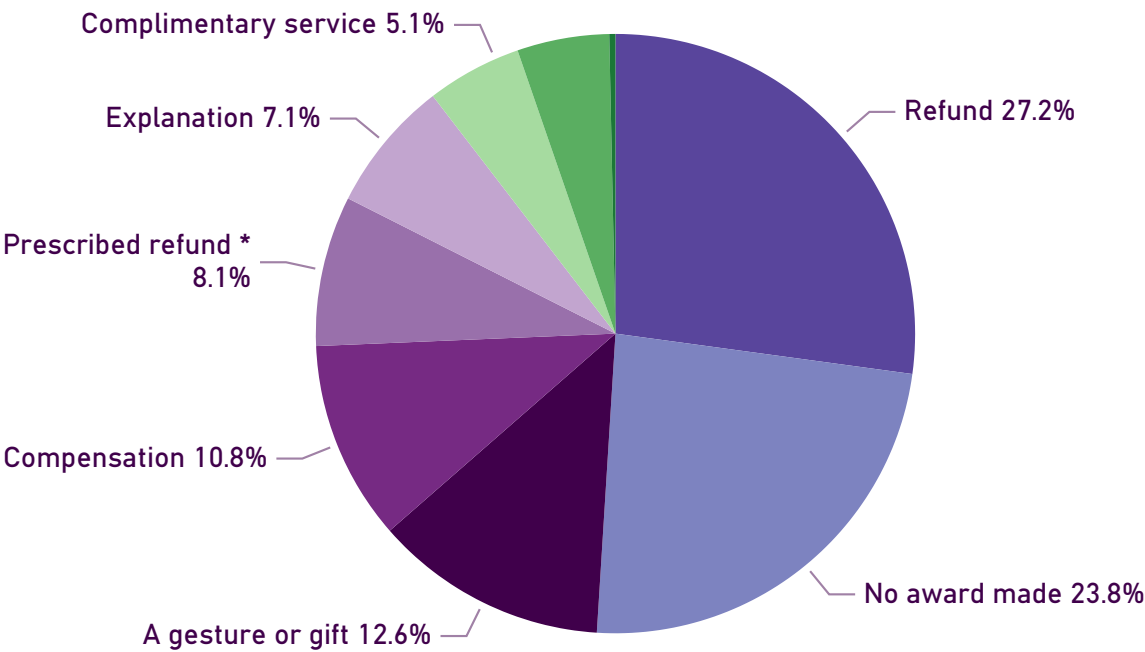




17. Resolution types and volume

Award type	No. of awards
A gesture or gift	76
Apology	30
Compensation	65
Complimentary service	31
Explanation	43
No award made	144
Prescribed refund *	48
Refund	164
Ticket reissue	2
<b>Total</b>	<b>603</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  
**£131**

Largest financial award  
made \*  
**£4,098**

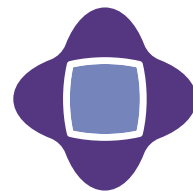
\* Award represents a refund of season ticket

## 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
TransPennine Express	15	10	14		2	5	11	47		104
Avanti West Coast	7	2	4	11	5	29	8	10		76
Great Western Railway	6	1	5		2	14	10	13		51
South Western Railway	7	4	6		3	6	3	20		49
Virgin Trains (post franchise change)	9	2	5		3	12	3	8	1	43
Govia Thameslink Railway	1	1	5	3	4	13	2	5		34
c2c	7	4	3		4	3		10		31
LNER (London North Eastern Railway)	8		4	5		3		10		30
West Midlands Trains	3	1	3	4	3	3	3	10		30
Northern	2		5	1	1	7	3	5		24
Greater Anglia			1		5	9	1	5		21
Transport for Wales	1	3	5		1	6	1	4		21
ScotRail	3	1	1		2	6		3	1	17
Cross Country	1		1	3	1	3	1	5		16
Northern Trains Ltd					4	6	1	1		12
Chiltern Railways	2		2	2		3		1		10
Southeastern	1				1	3	1	1		7
Caledonian Sleeper Train				1	1	2		2		6
Hull Trains	1					3		1		5
East Midlands Railway			1			3				4
Merseyrail	1					2		1		4
Network Rail		1			1	2				4
Grand Central				1		1		1		3
National Rail Enquiries	1							1		2
<b>Total</b>	<b>76</b>	<b>30</b>	<b>65</b>	<b>31</b>	<b>43</b>	<b>144</b>	<b>48</b>	<b>164</b>	<b>2</b>	<b>603</b>

\* paid in accordance with the delay repay procedure

# The Rail Ombudsman



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

Dates: 01/04/20 - 30/06/20