

Quarterly Statistical Report

Q2

Dates: 01/07/20 - 30/09/20

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Definitions

Rail Passenger	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.
Participating Rail Operating Company	A rail operating company which is part of the Rail Ombudsman scheme. The full list of Participating Rail Operating Companies is available here: www.railombudsman.org/about-us/Participating-service-providers/
In Scope	A complaint accepted as being eligible for the Rail Ombudsman scheme.
Out of Scope (Transferred)	A complaint that is outside the scope of the Rail Ombudsman scheme which is transferred to either Transport Focus or London TravelWatch.
Out of Scope (Ineligible)	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.
Simple Resolution	A stage in the Rail Ombudsman process that provides an opportunity, in some circumstances, to quickly resolve an issue.
Complex Resolution	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.
Mediation	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.
Adjudication	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/>

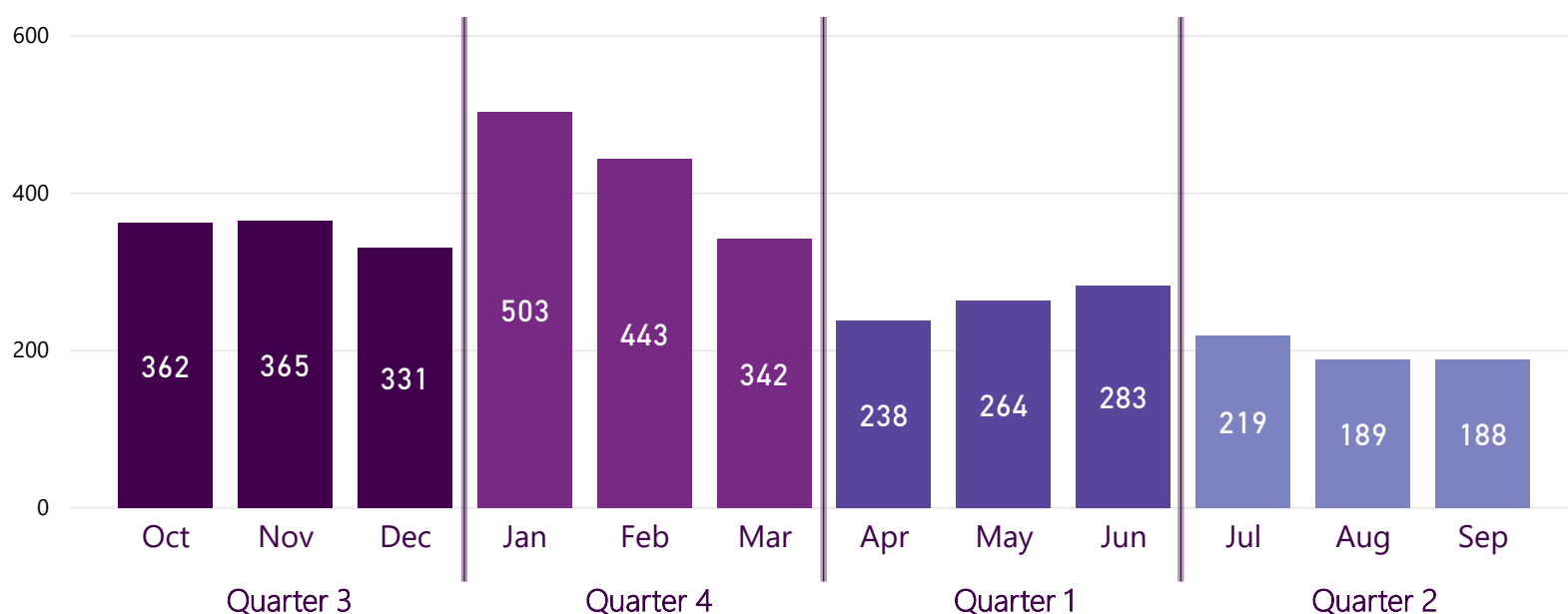
Complaints evaluated / closed by the Rail Ombudsman during Quarter 2 include complaints raised in the previous quarter.

Quarter 2: Key Facts

	Quarter 2	vs Quarter 1	vs Last Year Quarter 2
New cases referred to the Rail Ombudsman	596	-24%	-26%
Cases evaluated by the Rail Ombudsman	690	-14%	-1%
% Cases found to be In Scope for the scheme	61%	-1% pts	+4% pts
% Cases referred to consumer advocacy bodies *	13%	+5% pts	+2% pts
<small>* slight change in methodology – also applied to previous quarter and previous year values to allow like for like comparison</small>			
% Cases found to be Out of Scope: Ineligible	26%	-4% pts	-6% pts
Average financial award (where financial award secured)	£266	+103%	+220%

Following UK Covid-19 restrictions, we have seen a shift in the types of case categories raised and evaluated. With less consumers able to travel and seeking to refund pre-paid tickets (including season tickets), this quarter Company policy accounted for 41% of cases evaluated with complaints handling (21%) and delay compensation (17%) falling to 2nd and 3rd place.

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



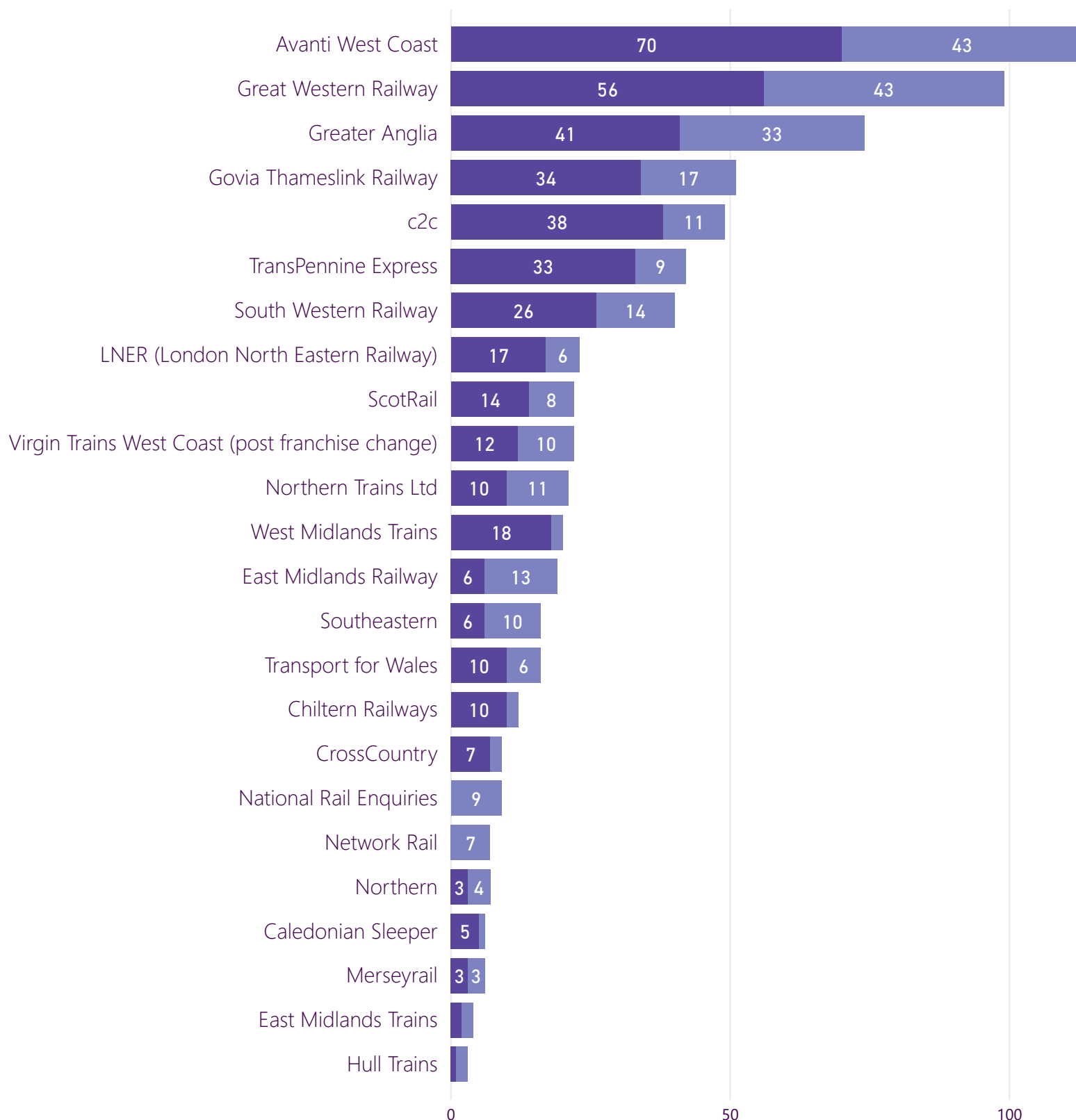
Total referred to the Rail Ombudsman in Quarter 2: 596

The above chart covers complaints referred to the Rail Ombudsman during Quarter 2 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 2 by Rail Operating Company.

● In Scope ● Out of Scope

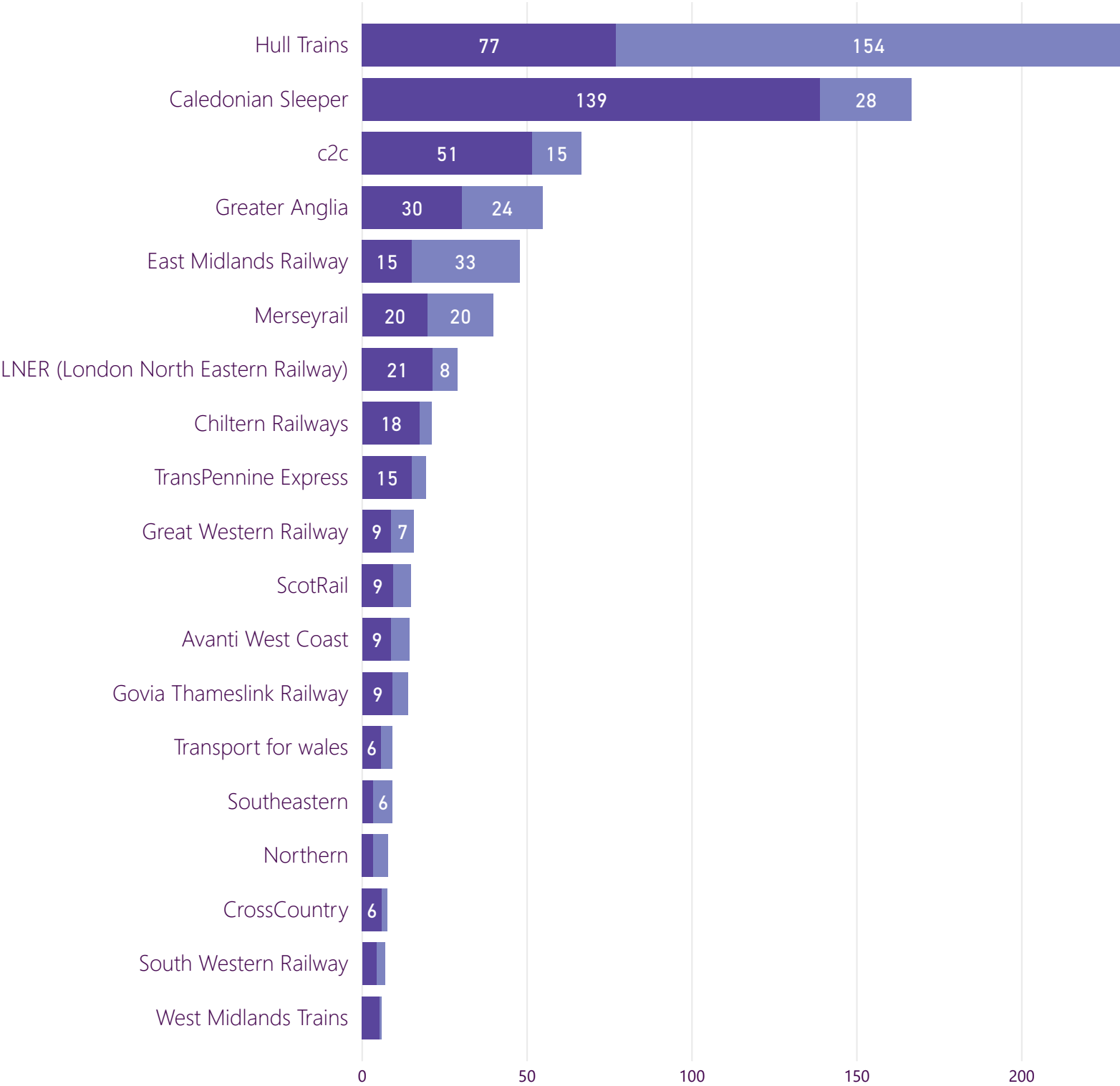




3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

Volume of complaints assessed during Quarter 2 by Participating Rail Operating Company, normalised by Rail Operator complaints (scaled by 1000s for ease of reading).

● In Scope ● Out of Scope



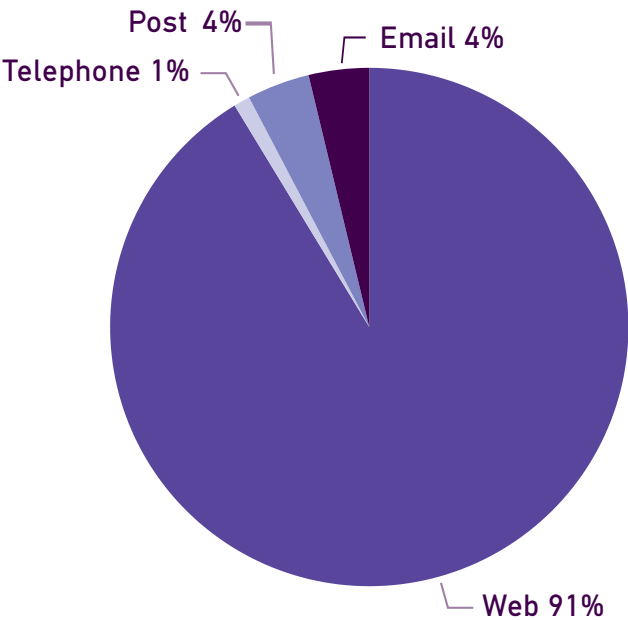
(Rail Operators' complaint volumes source: ORR Passenger rail service complaints publication)



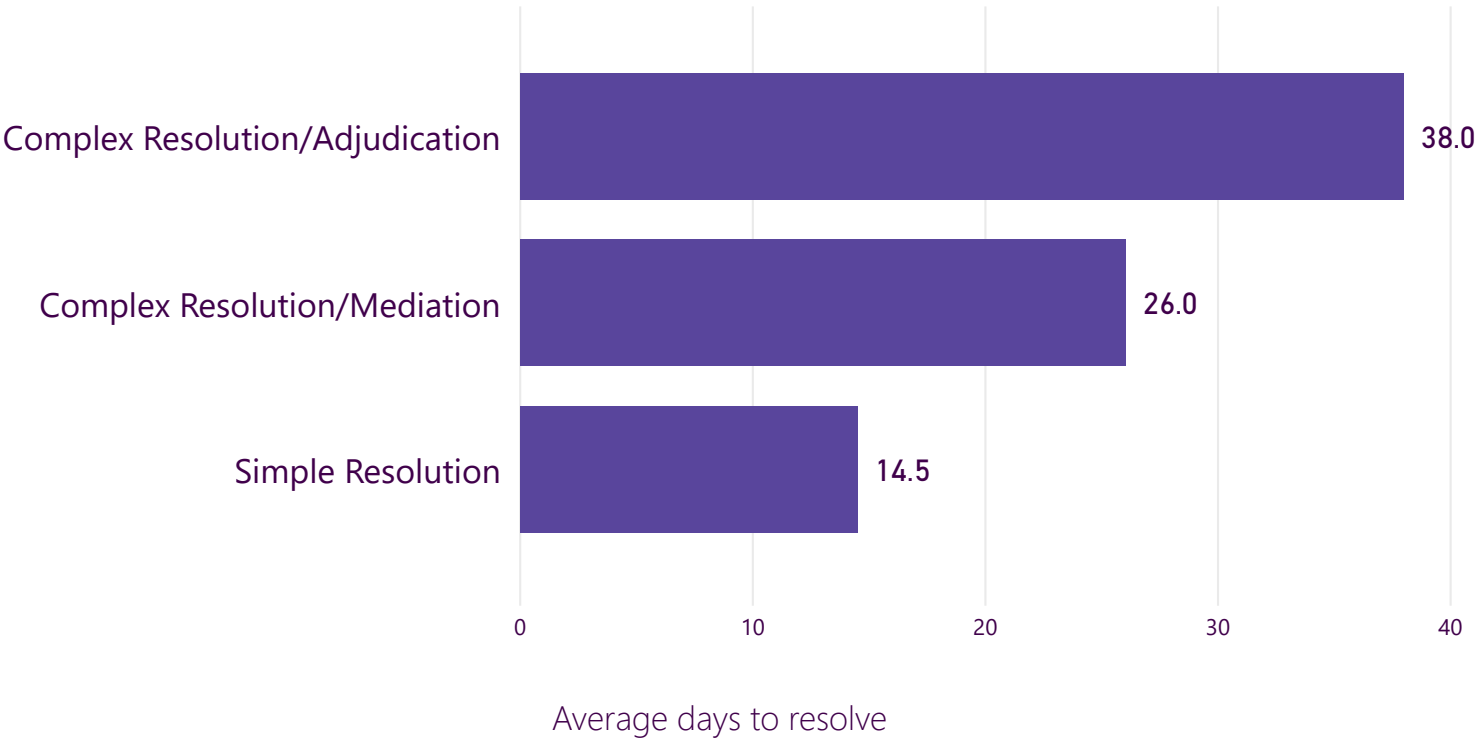
4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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	630
Post	27
Email	26
Telephone	7
Total	690

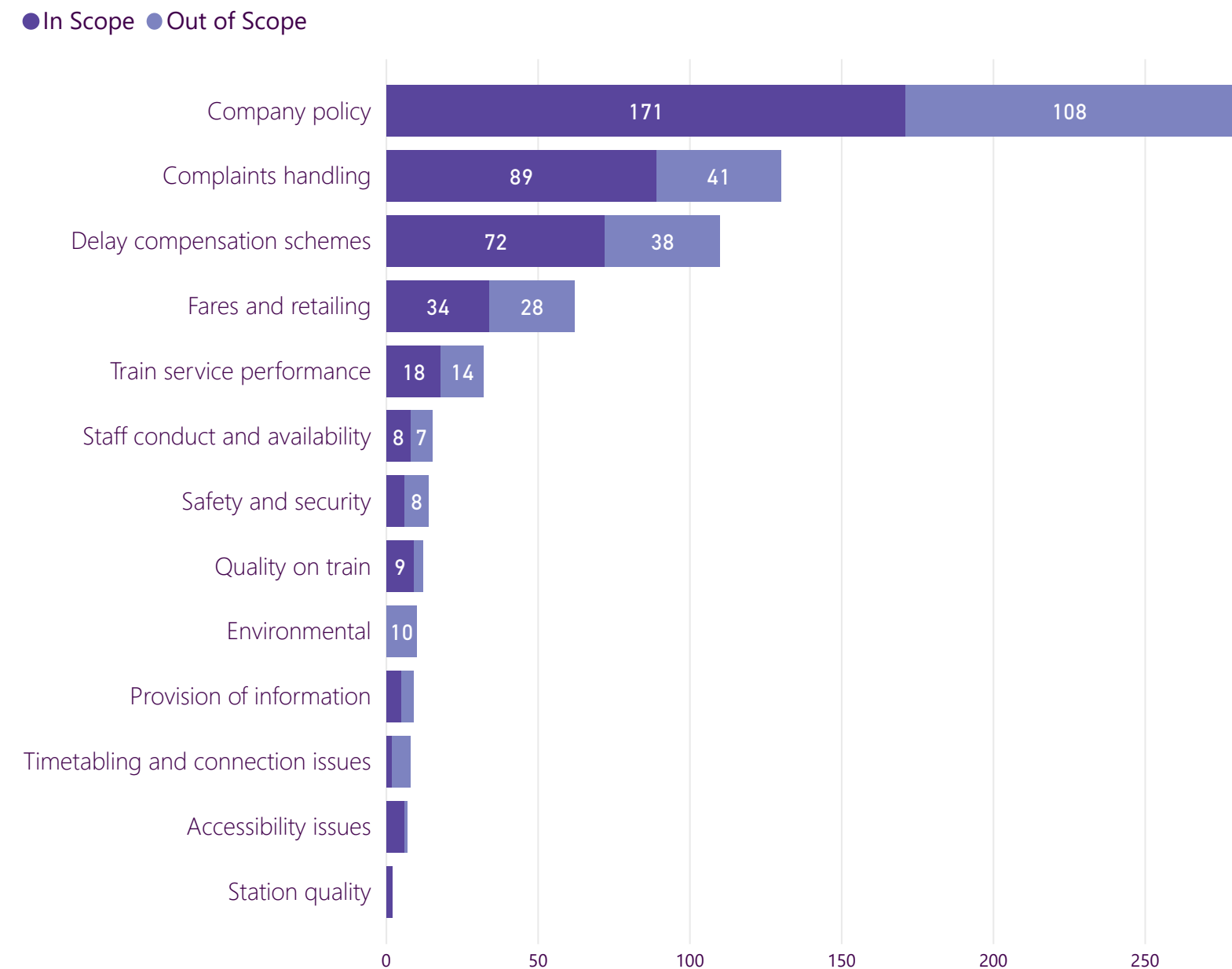


5. Average time to close In Scope complaints in working days





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



7. Complaints assessed by the Rail Ombudsman, by second level category

Top level category	Second level category	Vol. of complaints
Accessibility issues	Assistance booking process	1
Accessibility issues	Booked assistance not provided at station	2
Accessibility issues	Lack of disabled facilities at station/on train	1
Accessibility issues	Other	1
Accessibility issues	The ease of being able to get on and off	2
Company policy	Onboard policy	2
Company policy	Other	2
Company policy	Ticketing and refunds policy	275
Complaints handling	Complaint not received	1
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	80
Complaints handling	No response from Participating Rail Operating Company	16
Complaints handling	Other	2
Complaints handling	Response time	13
Complaints handling	Unhappy at type/level of compensation	18
Delay compensation schemes	Awareness/promotion of schemes	2
Delay compensation schemes	Compensation claim rejected	47
Delay compensation schemes	Compensation claims process	16
Delay compensation schemes	Level of compensation	16
Delay compensation schemes	Other	5
Delay compensation schemes	Participating Rail Operating Company processing error	5
Delay compensation schemes	Speed of response	19
Environmental	General appearance of station	1
Environmental	Noise pollution	7
Environmental	Other	2
Fares and retailing	Other	31
Fares and retailing	Smartcards	6
Fares and retailing	Ticket buying facilities	10
Fares and retailing	Value for money of ticket price	15
Provision of information	Provision of information about train times/platforms	3
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	1
Quality on train	Facilities onboard	1
Quality on train	Other	2
Quality on train	Sufficient room for all passengers to sit/stand	7
Quality on train	Upkeep and repair of the train	1
Safety and security	Other	2
Safety and security	Personal security onboard	6
Safety and security	Personal security whilst using station	6
Staff conduct and availability	How request to station staff was handled	1
Staff conduct and availability	Other	2
Staff conduct and availability	The attitudes and helpfulness of the staff at station	7
Staff conduct and availability	The helpfulness and attitude of staff on train	5
Station quality	Facilities for car parking	1
Station quality	The upkeep/repair of the station buildings/platforms	1
Timetabling and connection issues	Other	2
Timetabling and connection issues	The frequency of the trains on that route	2
Timetabling and connection issues	The length of time the journey was scheduled to take (speed)	1
Timetabling and connection issues	Timetabling	3
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	32

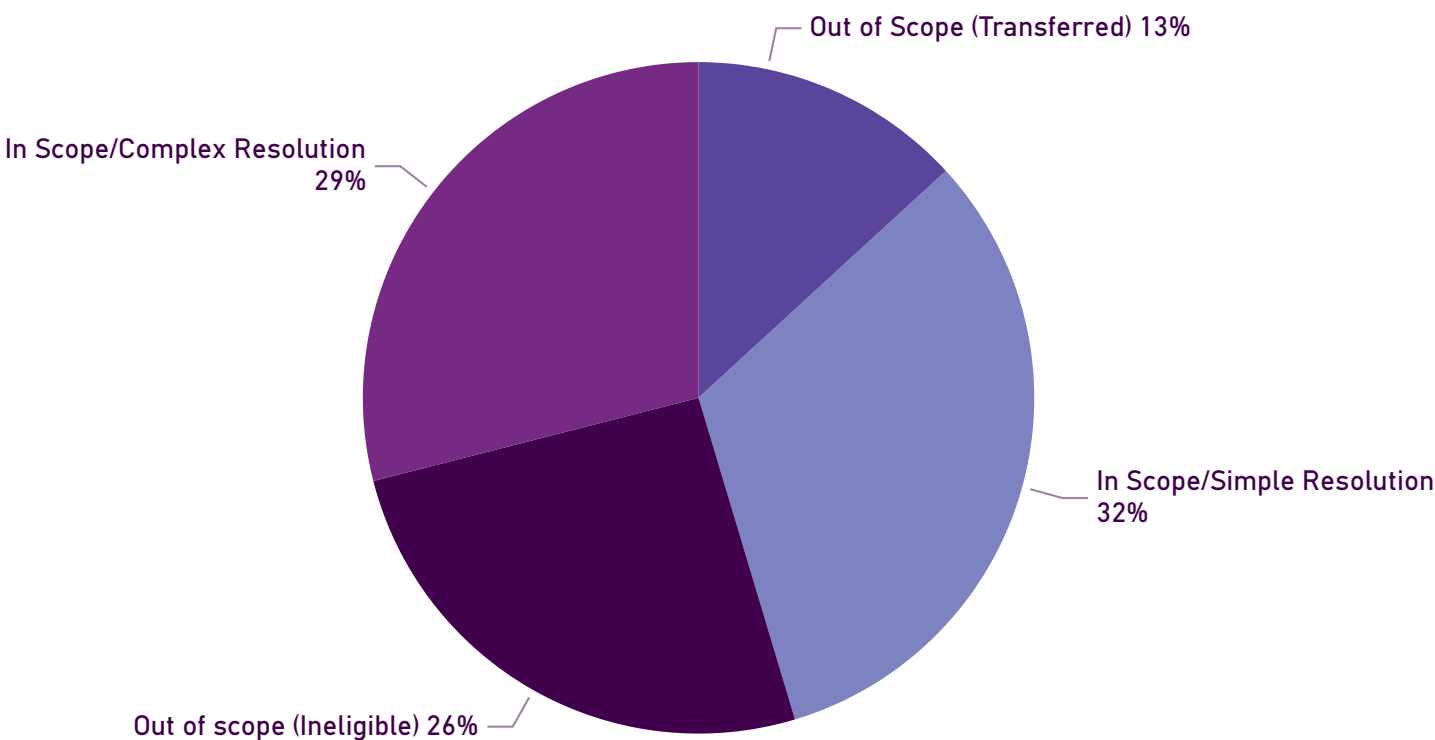


8. Volumes assessed as In Scope or Out of Scope

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	200
In Scope/Simple Resolution	222
Out of scope (Ineligible)	177
Out of Scope (Transferred)	91
Total	690

Of the 690 complaints assessed in Quarter 2, 61% (422 complaints) were In Scope, 26% (177) were deemed to be Out of Scope and Ineligible for the scheme (66% of which were due to no deadlock letter provided). 13% (91) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

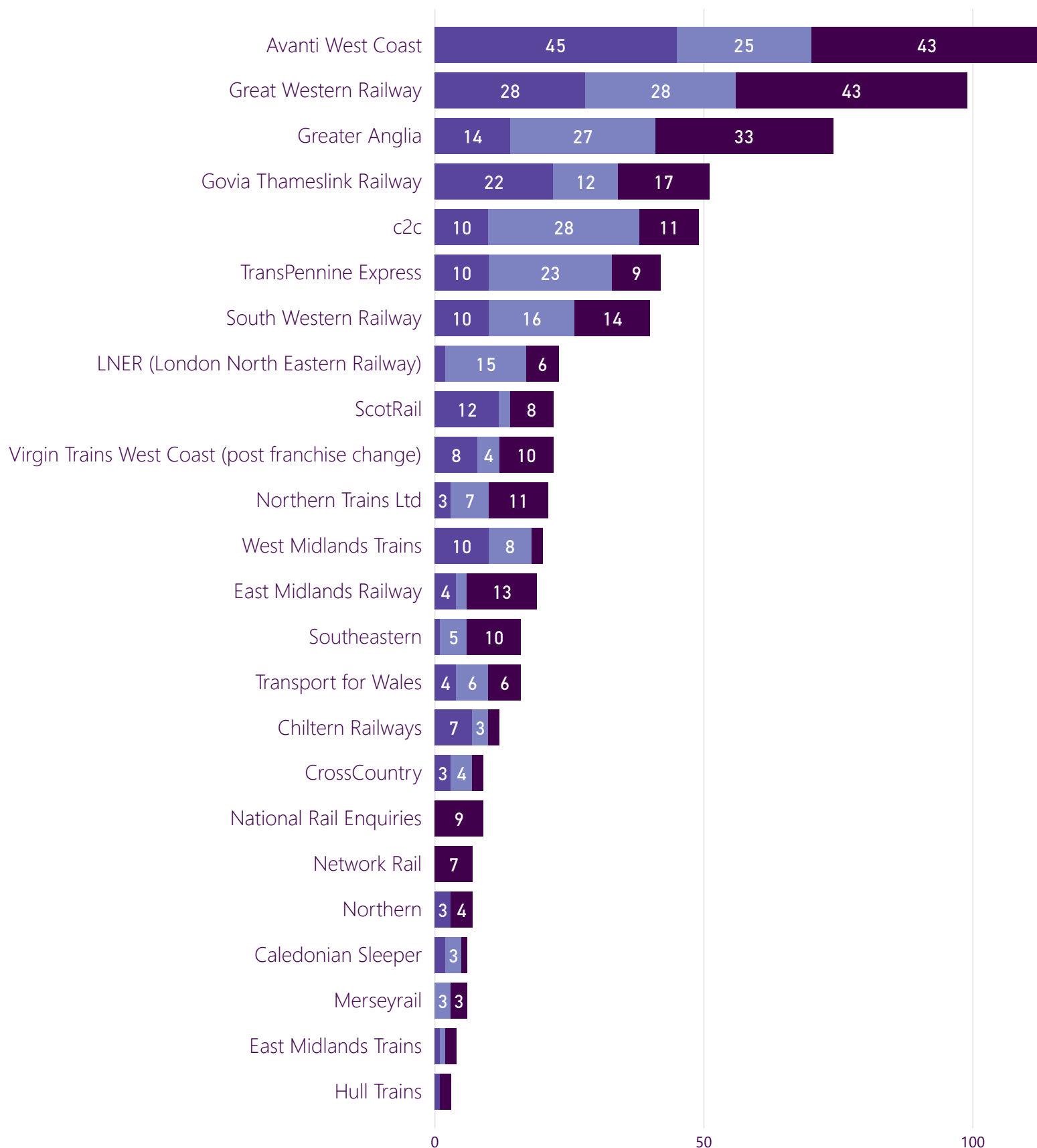


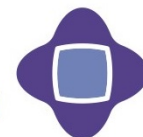
Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.

9. Complaint classifications by Participating Rail Operating Company

Complaints evaluated by the Rail Ombudsman during Quarter 2, by Participating Rail Operating Company.

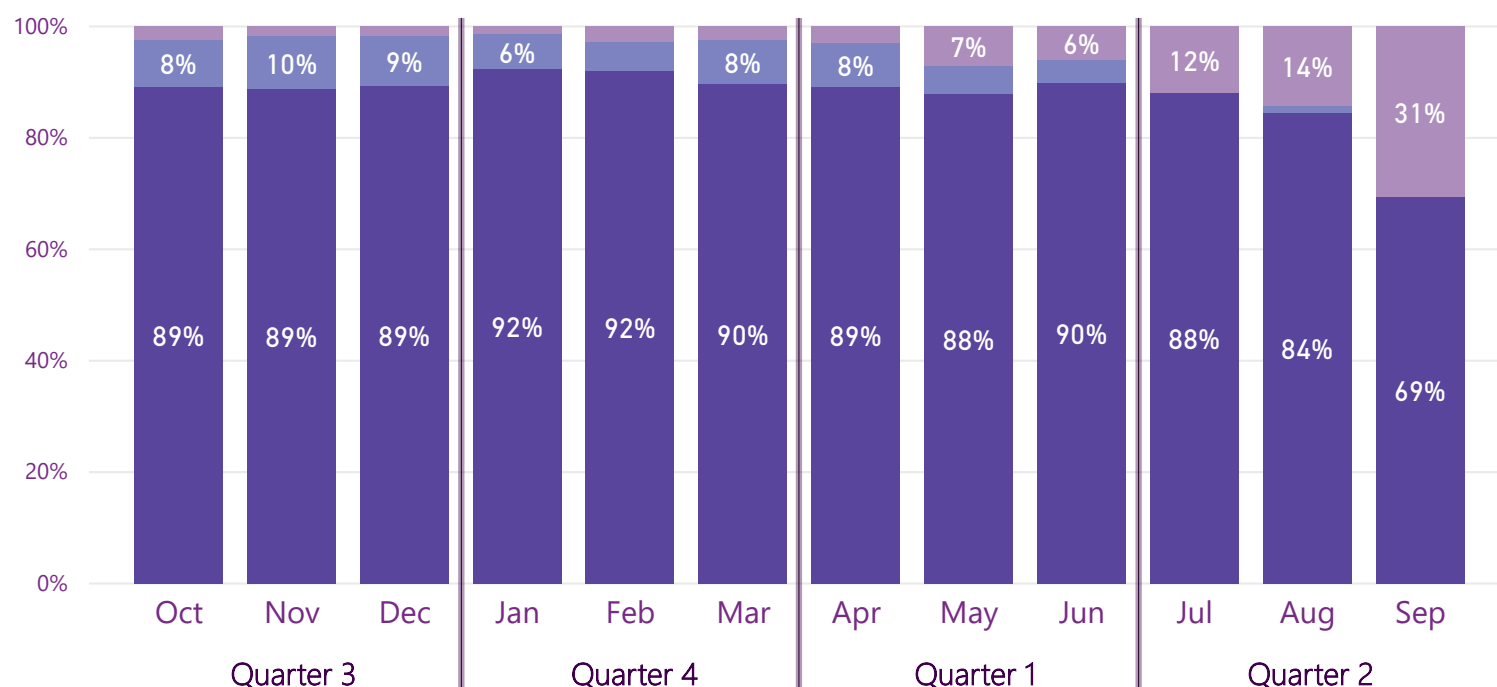
● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of Scope





10. 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



11. Out of Scope categories

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

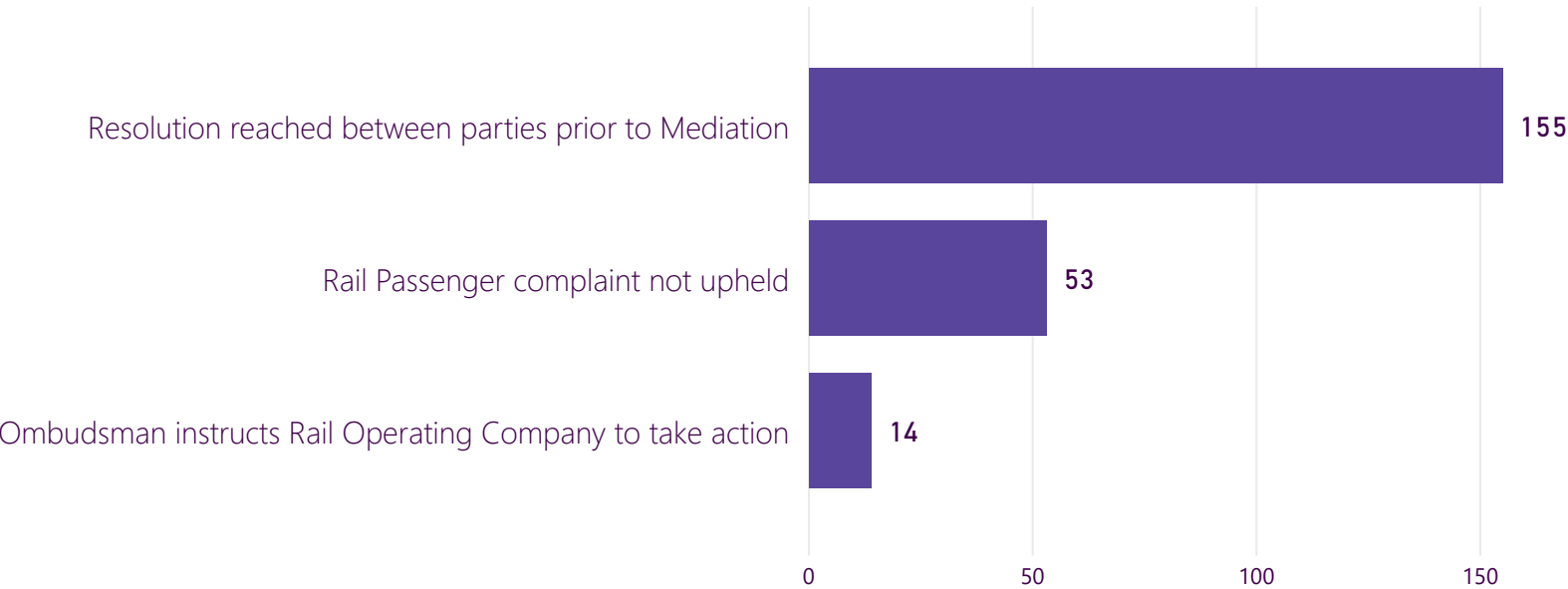
Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
No deadlock letter provided	111	5	116
Policy issues	7	69	76
Action being taken by alternative channel	16	3	19
Already settled	18	0	18
Consumer withdrew	10	0	10
Residential or lineside issues	8	0	8
Incident date prior to Ombudsman launch	1	5	6
Planned service alterations/closures	0	5	5
Penalty fare appeals	0	4	4
Personal injury claim	3	0	3
Criminal claims	2	0	2
Parking ticket pricing	1	0	1
Total	177	91	268

Of the 69 'Policy issues' transferred, 47 (68%) were related to Rail Service Providers' ticketing and refund policies. This is a sharp increase compared to the previous year where we only transferred an average of 8 Out of Scope ticketing and refund policy cases per quarter.



12. Simple Resolution case outcomes

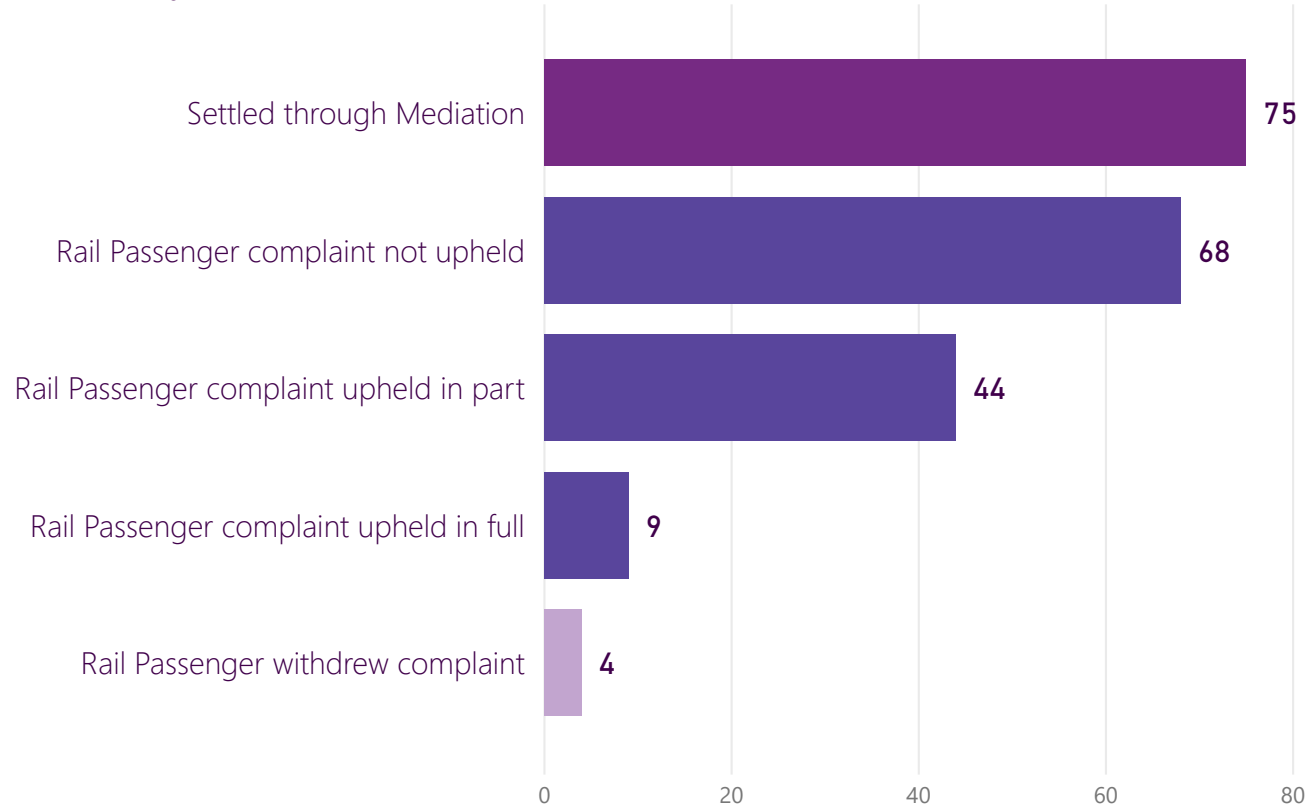
Outcomes of closed Simple Resolution cases.

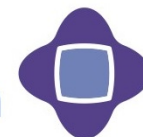


13. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

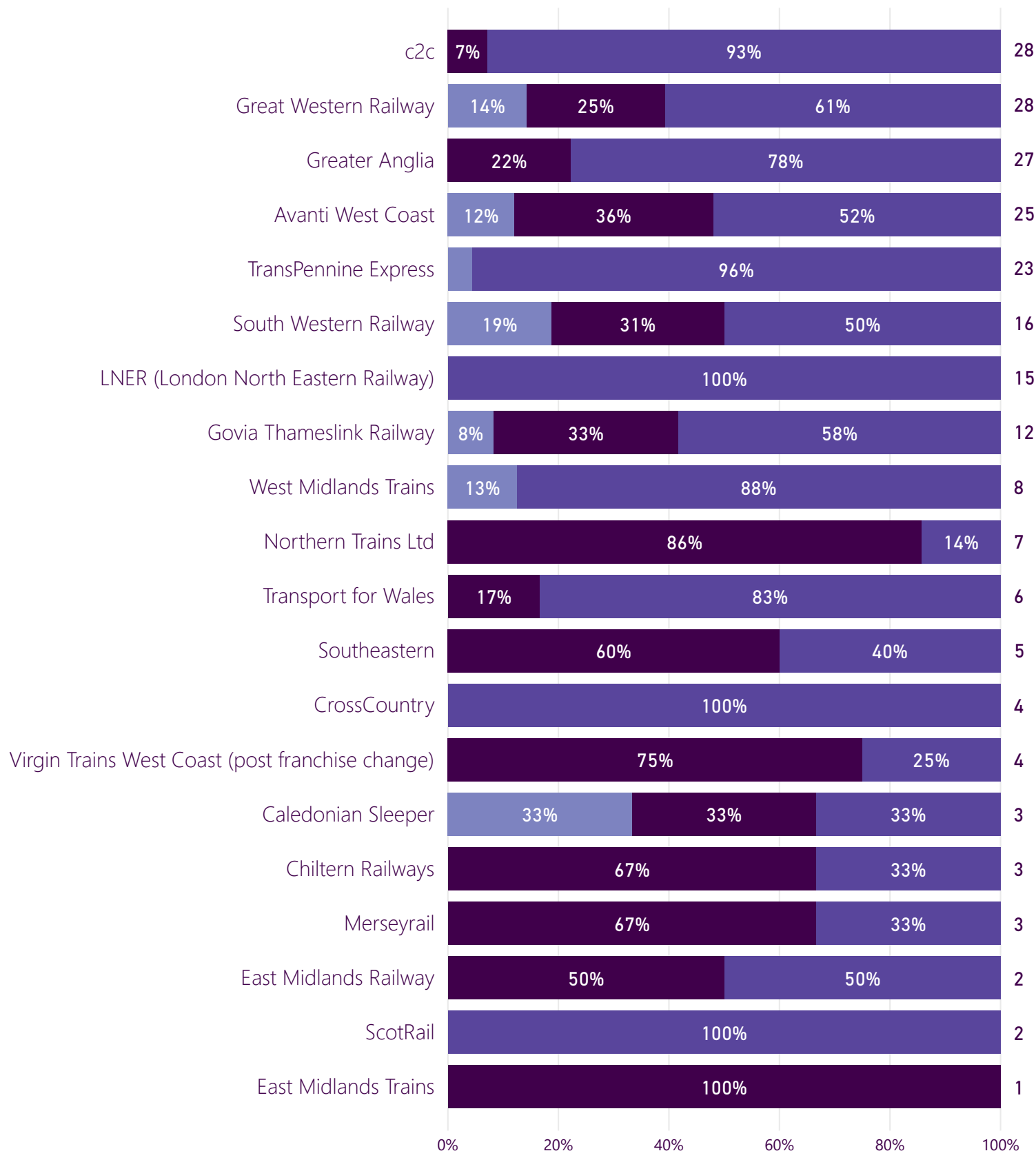


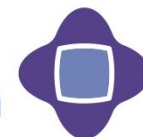


14. Simple Resolution case outcomes, by Participating Rail Operating Company

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

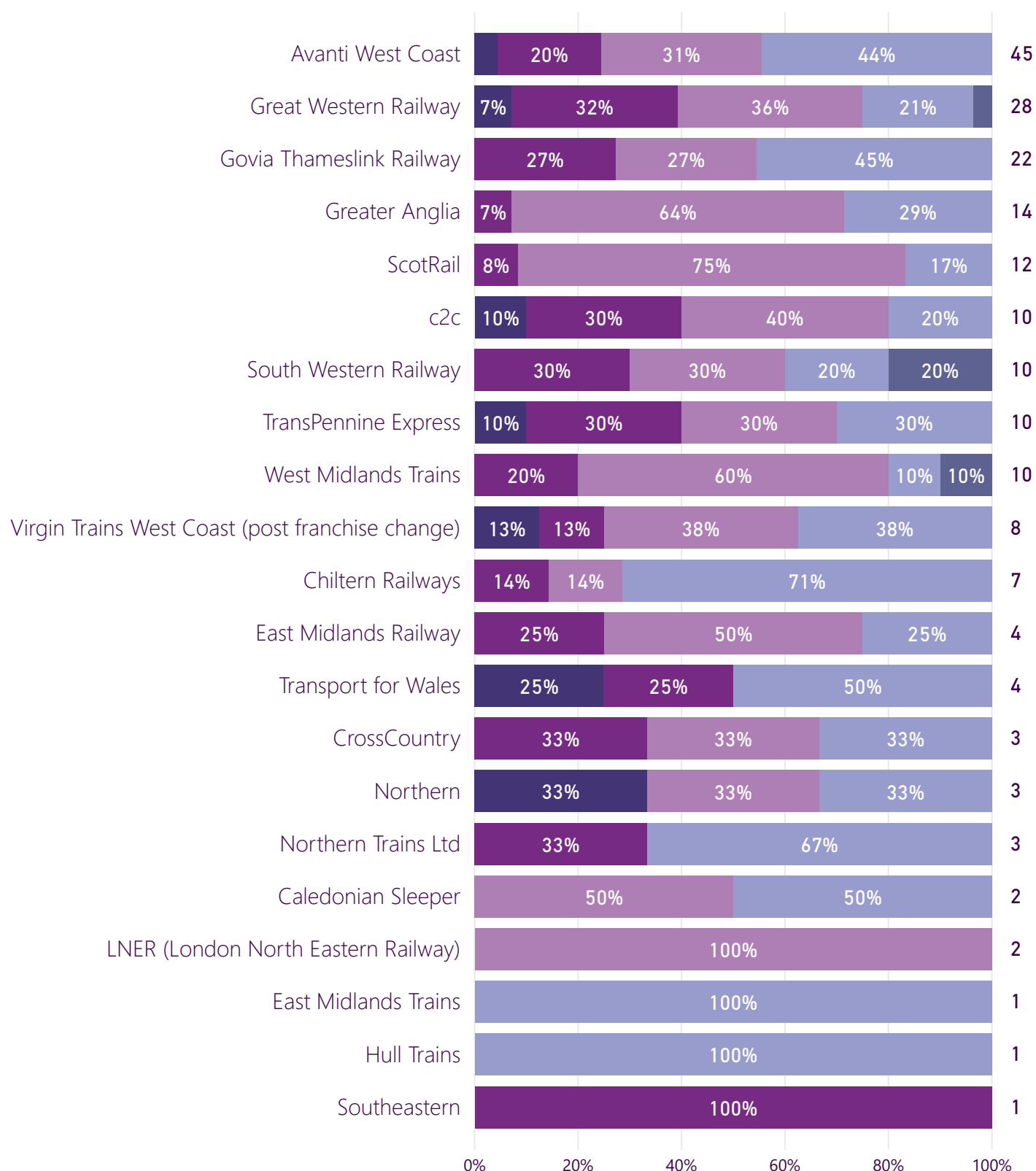




15. Complex Resolution case outcomes, by Participating Rail Operating Company

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

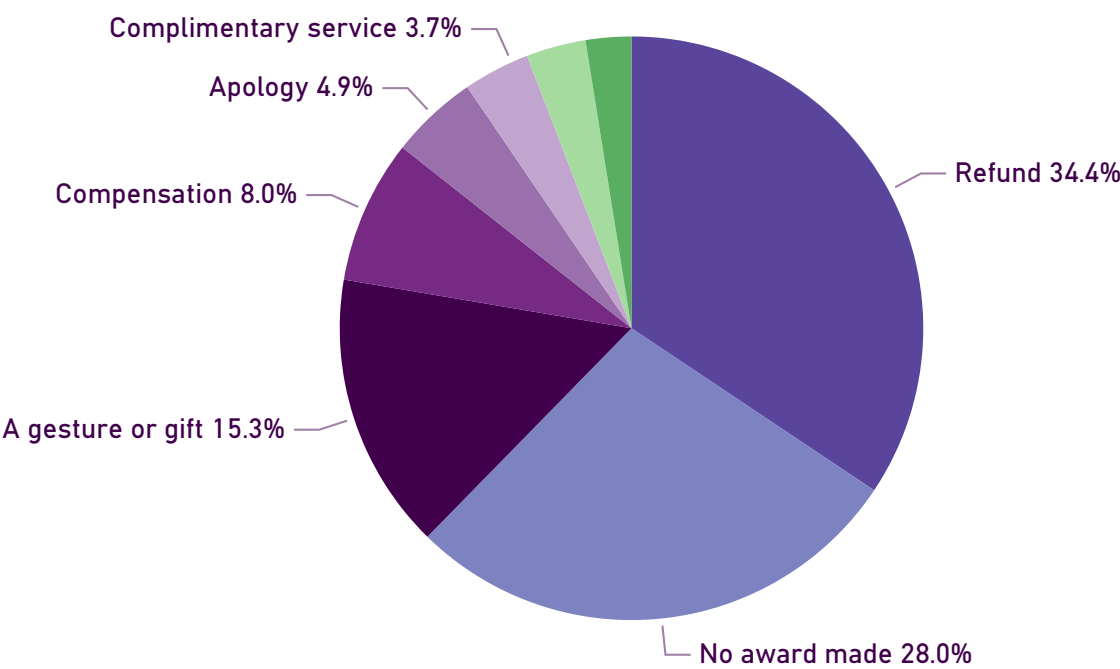




16. Resolution types and volume

Award type	No. of awards
A gesture or gift	79
Apology	25
Compensation	41
Complimentary service	19
Explanation	17
No award made	144
Prescribed refund *	13
Refund	177
Total	515

** 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
£266

Largest financial award
made *
£4,530

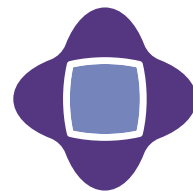
** Award represents a season ticket refund*

17. Resolution types and volume by Participating Rail Operating Company

Rail Service Provider	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Total
Avanti West Coast	11	2	5	3	2	33	5	20	81
Great Western Railway	11	2	4	4	2	18	1	24	66
TransPennine Express	10	6	5	1	1	4	1	20	48
c2c	6	5	4	1	1	3		26	46
Greater Anglia	5	1	3		2	13		21	45
Govia Thameslink Railway	3	1	5		1	15	2	10	37
LNER (London North Eastern Railway)	12	5	2	2				15	36
South Western	3		1	1	2	13		8	28
West Midlands Trains	3		4	1		4	1	9	22
ScotRail	5	1	4		3	2		3	18
Transport for Wales	2	2			1	3	2	5	15
Virgin Trains (after transfer)	3		2	2		5	1	2	15
Chiltern Railways	1			1		7		2	11
Northern Trains Ltd	1					7		2	10
Cross Country				1		2		4	7
East Midlands Railway	1		1		1	2		2	7
Southeastern				2	1	4			7
Caledonian Sleeper Train						3		2	5
Merseyrail	1					2		1	4
Northern	1		1			1		1	4
East Midlands Trains						2			2
Hull Trains						1			1
Total	79	25	41	19	17	144	13	177	515

* paid in accordance with the delay repay procedure

The Rail Ombudsman



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Dates: 01/07/20 - 30/09/20