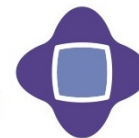


Quarterly Statistical Report

Q4

Dates: 01/01/21 - 31/03/21



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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/>

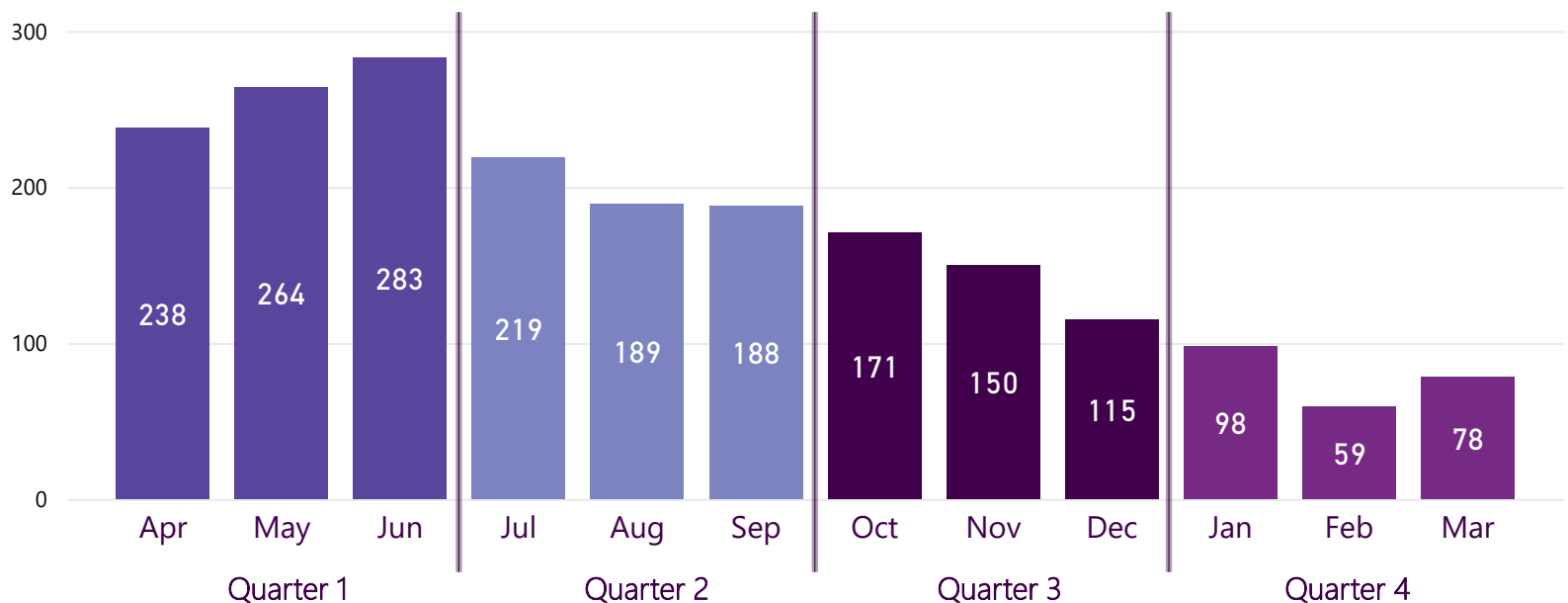
Complaints evaluated / closed by the Rail Ombudsman during Quarter 4 include complaints raised in the previous quarter.

Quarter 4: Key Facts

	Quarter 4	vs Quarter 3	vs Last Year Quarter 4
New cases referred to the Rail Ombudsman	235	-46%	-82%
Cases evaluated by the Rail Ombudsman	299	-30%	-78%
% Cases found to be In Scope for the scheme	64%	+10% pts	+4% pts
% Cases referred to consumer advocacy bodies	13%	-4% pts	+6% pts
% Cases found to be Out of Scope: Ineligible	23%	-7% pts	-11% pts
Average financial award (where financial award secured)	£67	-75%	-22%

With continued Covid-19 restrictions in place, this quarter 'Company policy' remained the largest complaint category, now accounting for 46% of cases evaluated, with 'Complaints handling' (17%) and 'Delay compensation schemes' (10%) remaining in 2nd and 3rd place.

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



Total referred to the Rail Ombudsman in Quarter 4: 235

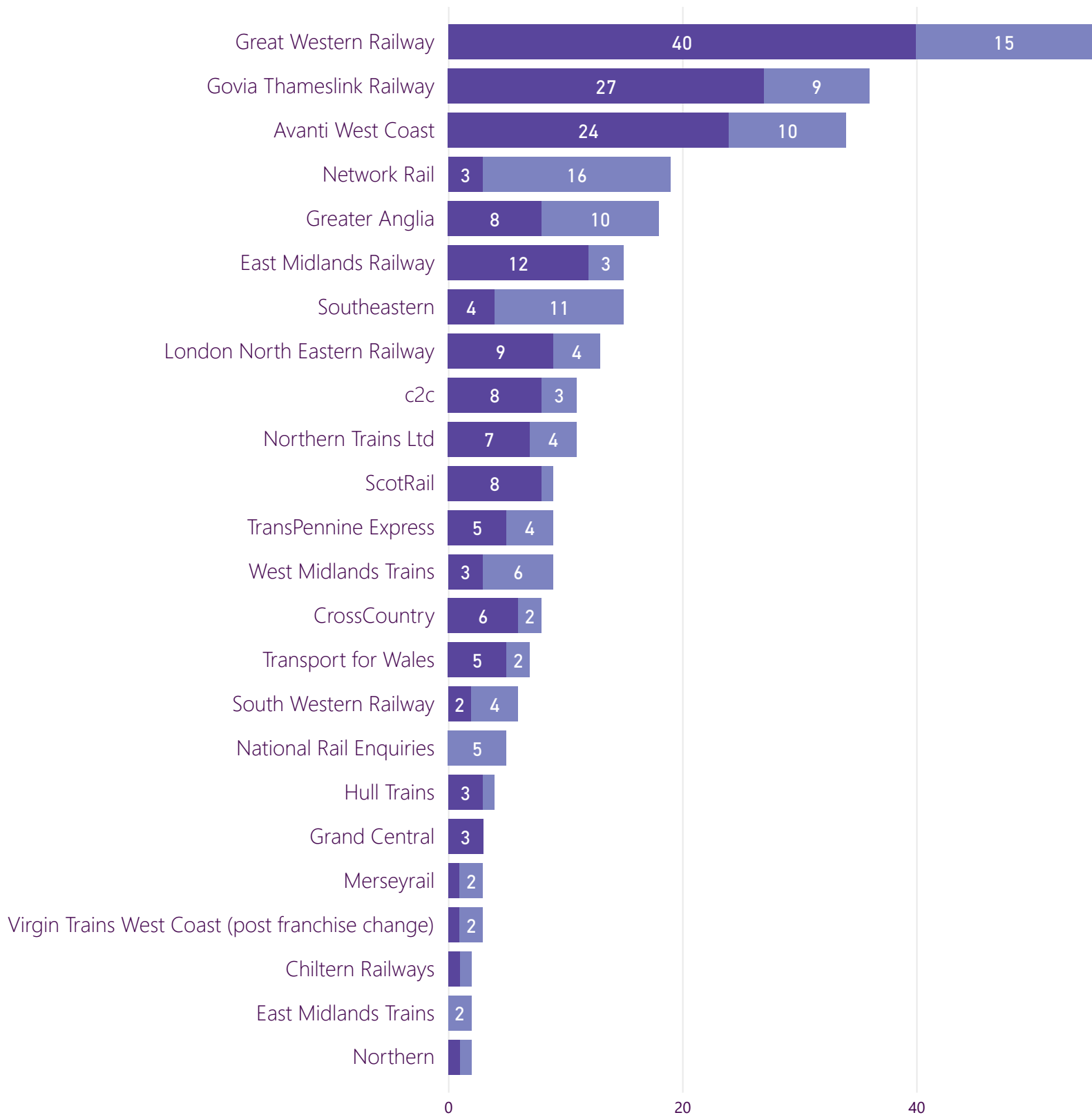
The above chart covers complaints referred to the Rail Ombudsman during Quarter 4 and includes both In Scope and Out of Scope complaints. Note: Outcomes of some of these will carry forward into the next Quarter.



2. Complaint volume by Participating Rail Operating Company

Volume of complaints assessed during Quarter 4 by Rail Operating Company.

● In Scope ● Out of Scope

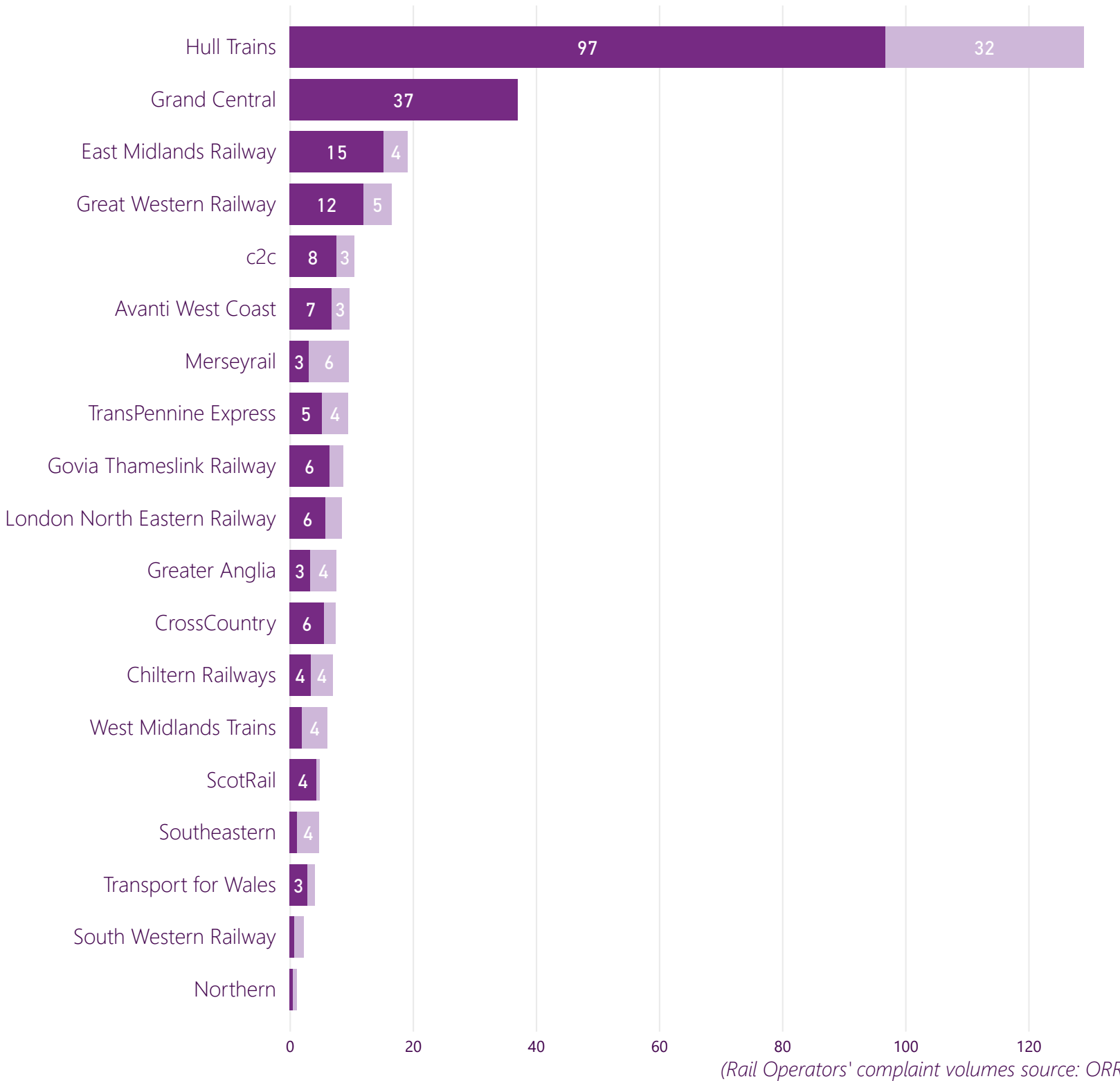




3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

Volume of complaints assessed during Quarter 4 by Participating Rail Operating Company, normalised by Rail Operator complaints (scaled by 1000s for ease of reading).

● In Scope ● Out of Scope

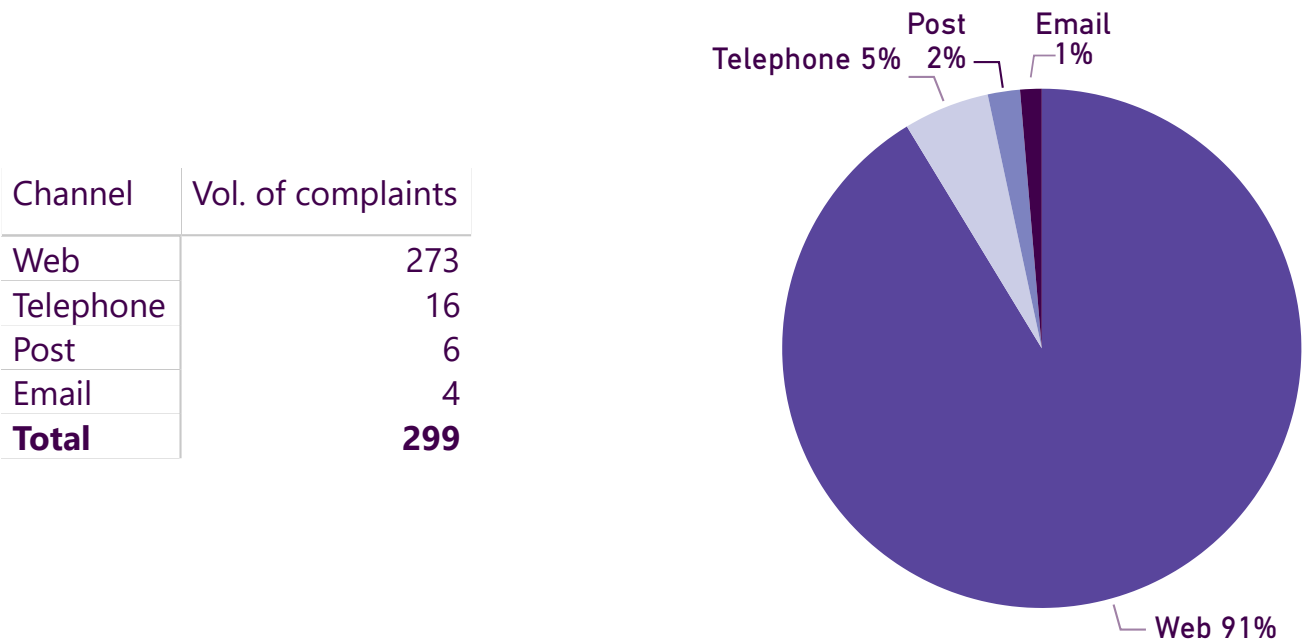


This shows complaints escalated to the Rail Ombudsman as a proportion of the total complaints recorded by operators. Given the low volumes recorded, referrals per 1000 complaints can appear inflated. For actual volumes, please see Section 2.



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).



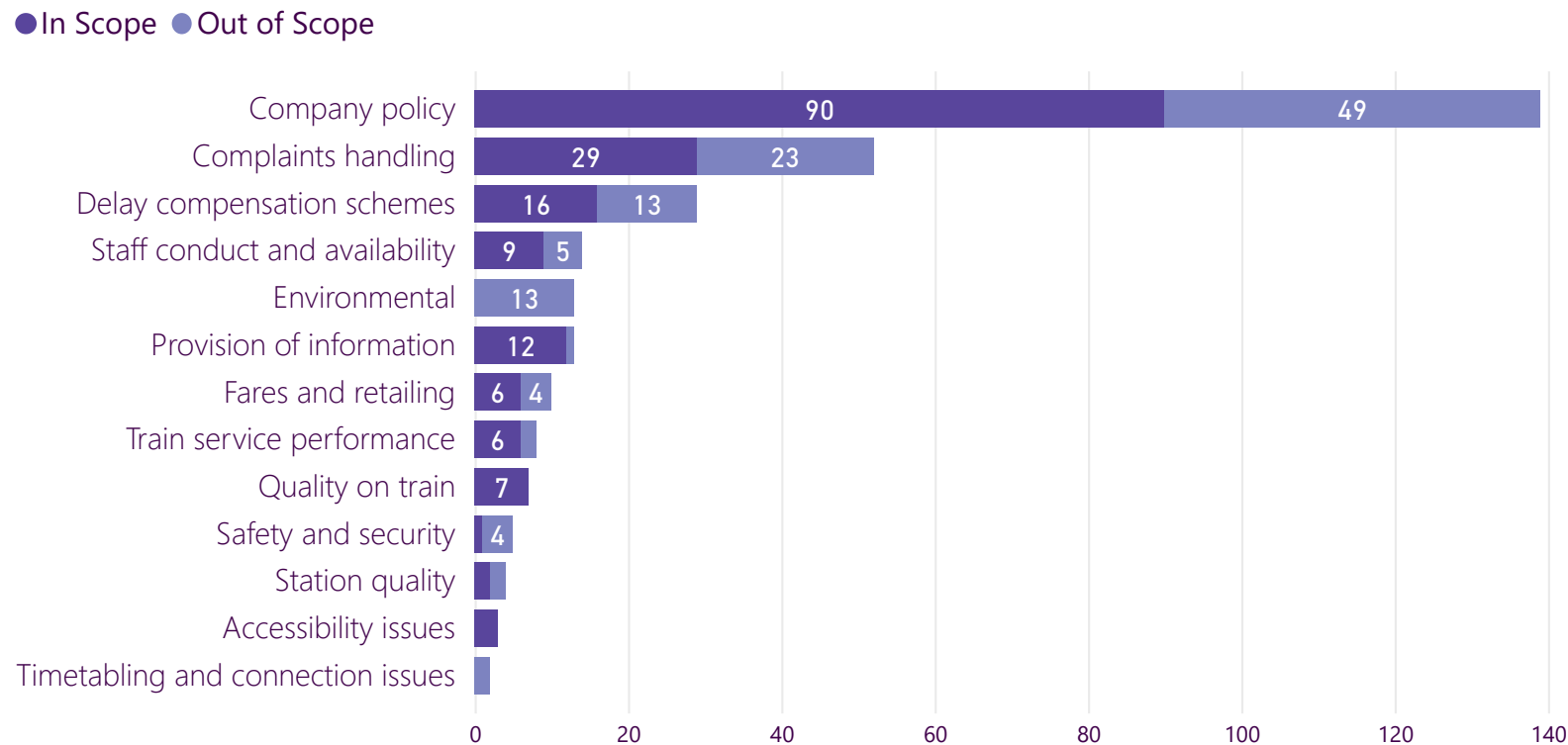
5. Average time to close In Scope complaints in working days



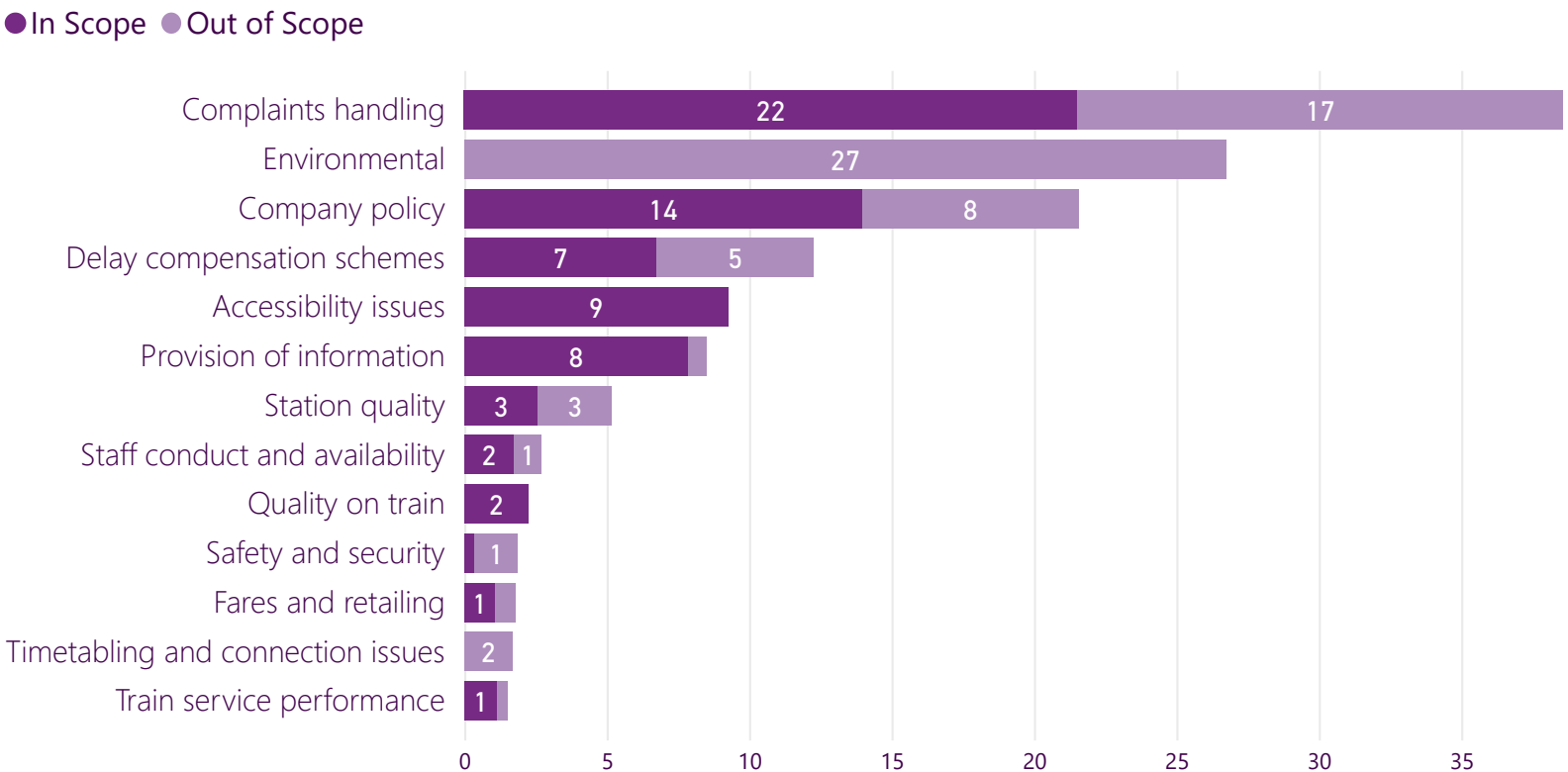
We work to resolve cases within 40 working days. However, extensions may be agreed by all parties in the event of exceptional circumstances or where additional evidence or independent advice is necessary for a decision to be made.



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	1
Accessibility issues	Booked assistance not provided on train	1
Accessibility issues	The ease of being able to get on and off	1
Company policy	Onboard policy	1
Company policy	Other	1
Company policy	Ticketing and refunds policy	137
Complaints handling	Complaint not received	4
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	29
Complaints handling	No response from Participating Rail Operating Company	6
Complaints handling	Other	1
Complaints handling	Response time	3
Complaints handling	Unhappy at type/level of compensation	9
Delay compensation schemes	Compensation claim rejected	9
Delay compensation schemes	Compensation claims process	6
Delay compensation schemes	Level of compensation	9
Delay compensation schemes	Other	3
Delay compensation schemes	Speed of response	2
Environmental	General appearance of station	1
Environmental	Noise pollution	6
Environmental	Other	3
Environmental	Overgrown vegetation	3
Fares and retailing	Other	5
Fares and retailing	Smartcards	2
Fares and retailing	Ticket buying facilities	3
Provision of information	Other	2
Provision of information	Provision of information about train times/platforms	2
Provision of information	Provision of information on website or mobile apps	5
Provision of information	The provision of information during the journey	4
Quality on train	Facilities onboard	5
Quality on train	Sufficient room for all passengers to sit/stand	2
Safety and security	Other	2
Safety and security	Personal security onboard	3

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Top level category	Second level category	Vol. of complaints
Staff conduct and availability	How request to station staff was handled	1
Staff conduct and availability	Other	1
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)	1
Staff conduct and availability	The helpfulness and attitude of staff on train	1
Station quality	Facilities for car parking	2
Station quality	The facilities and services	1
Station quality	The provision of shelter facilities	1
Timetabling and connection issues	Connections with other forms of public transport	1
Timetabling and connection issues	The frequency of the trains on that route	1
Train service performance	Other	2
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	6

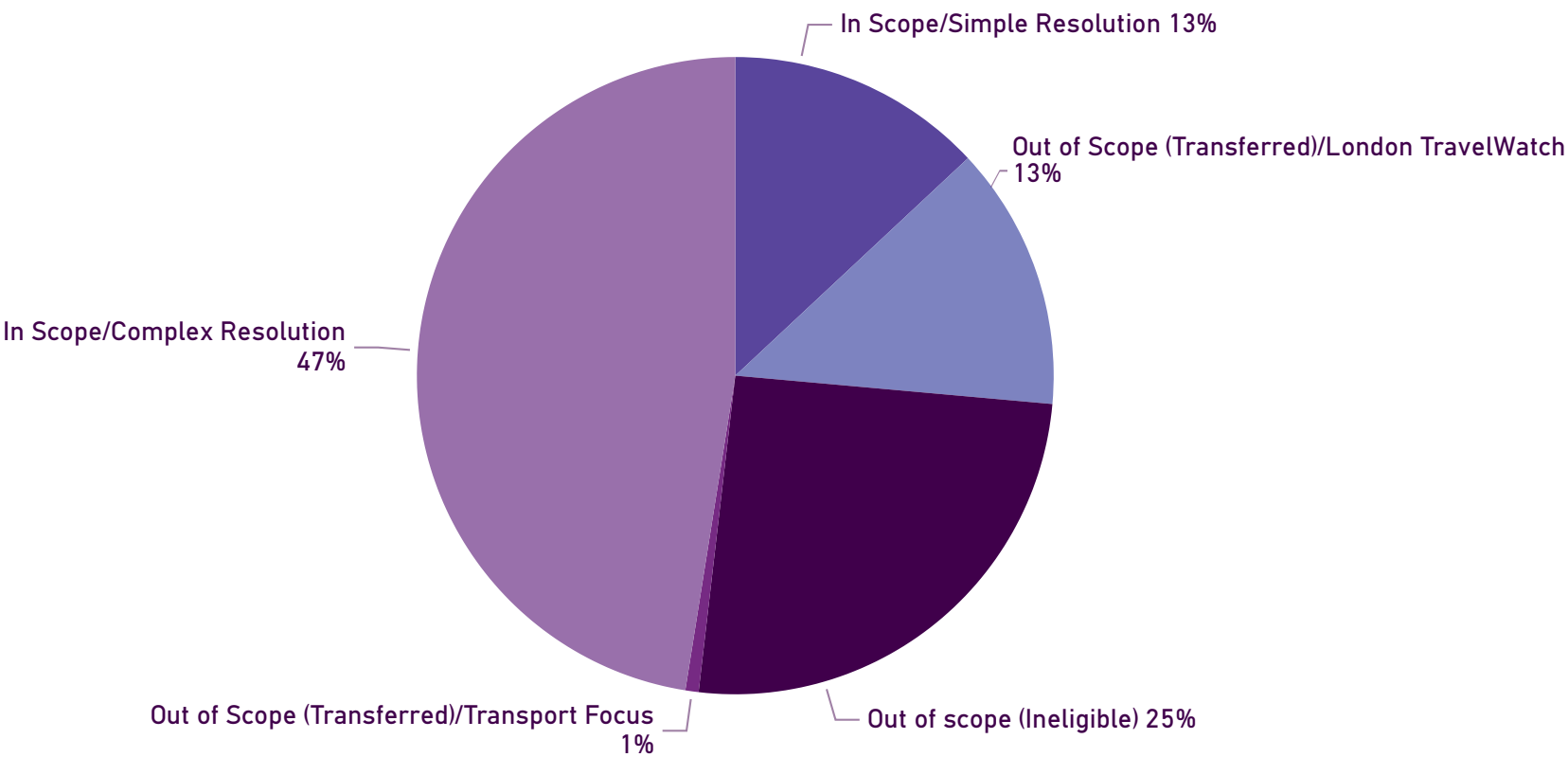


9. Volumes assessed as In Scope or Out of Scope

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	142
In Scope/Simple Resolution	39
Out of scope (Ineligible)	76
Out of Scope (Transferred)/London TravelWatch	40
Out of Scope (Transferred)/Transport Focus	2
Total	299

Of the 299 complaints assessed in Quarter 4, 61% (181 complaints) were In Scope, 25% (76) were deemed to be Out of Scope and Ineligible for the scheme (57% of which were due to no deadlock letter provided). 14% (42) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

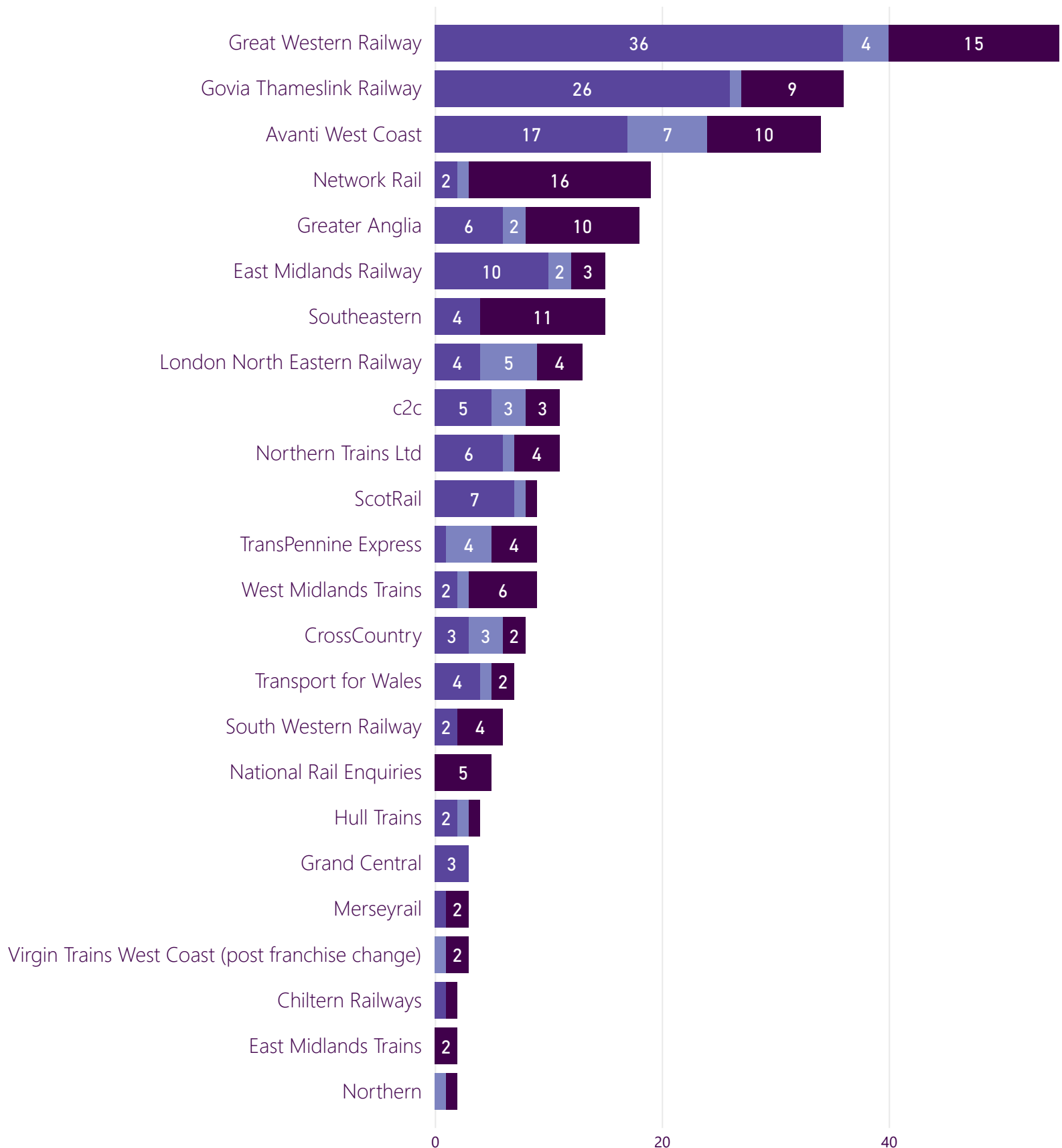


Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.

10. Complaint classifications by Participating Rail Operating Company

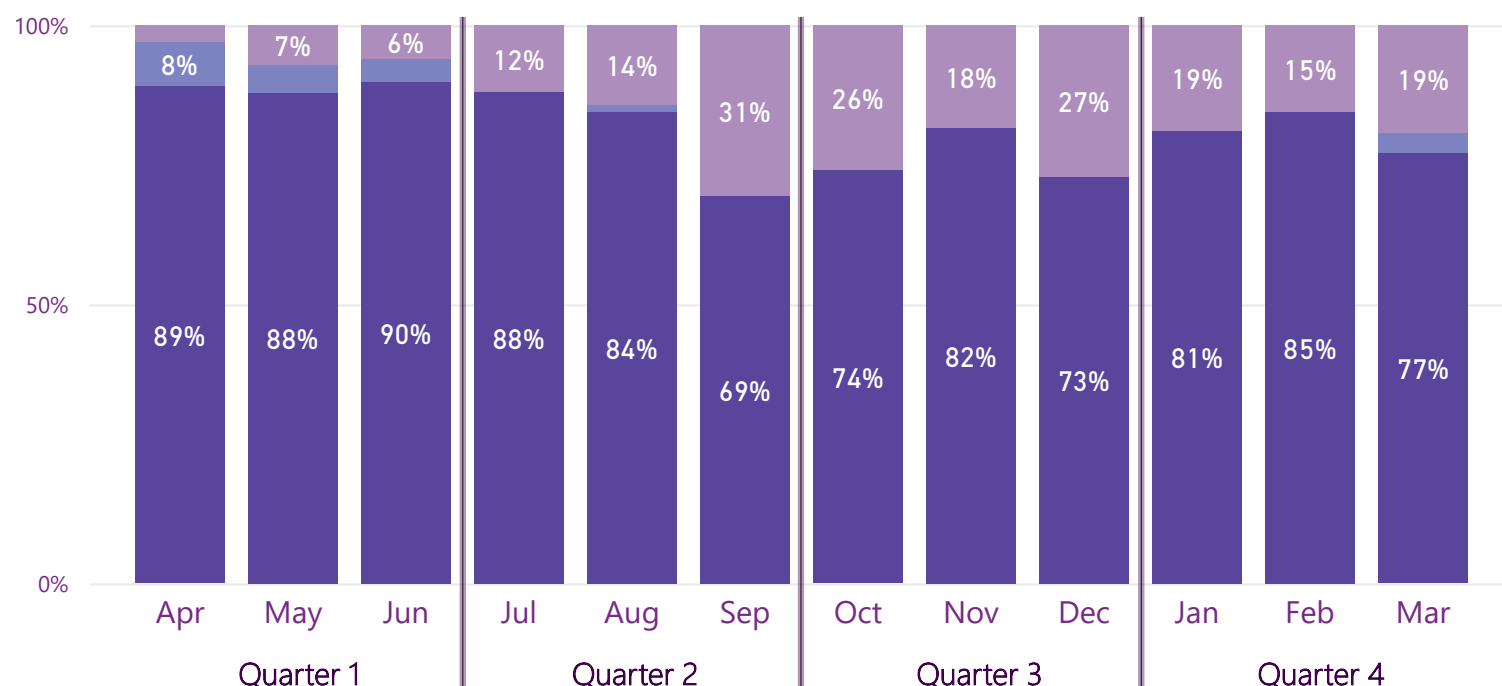
Complaints evaluated by the Rail Ombudsman during Quarter 4, by Participating Rail Operating Company.

● 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

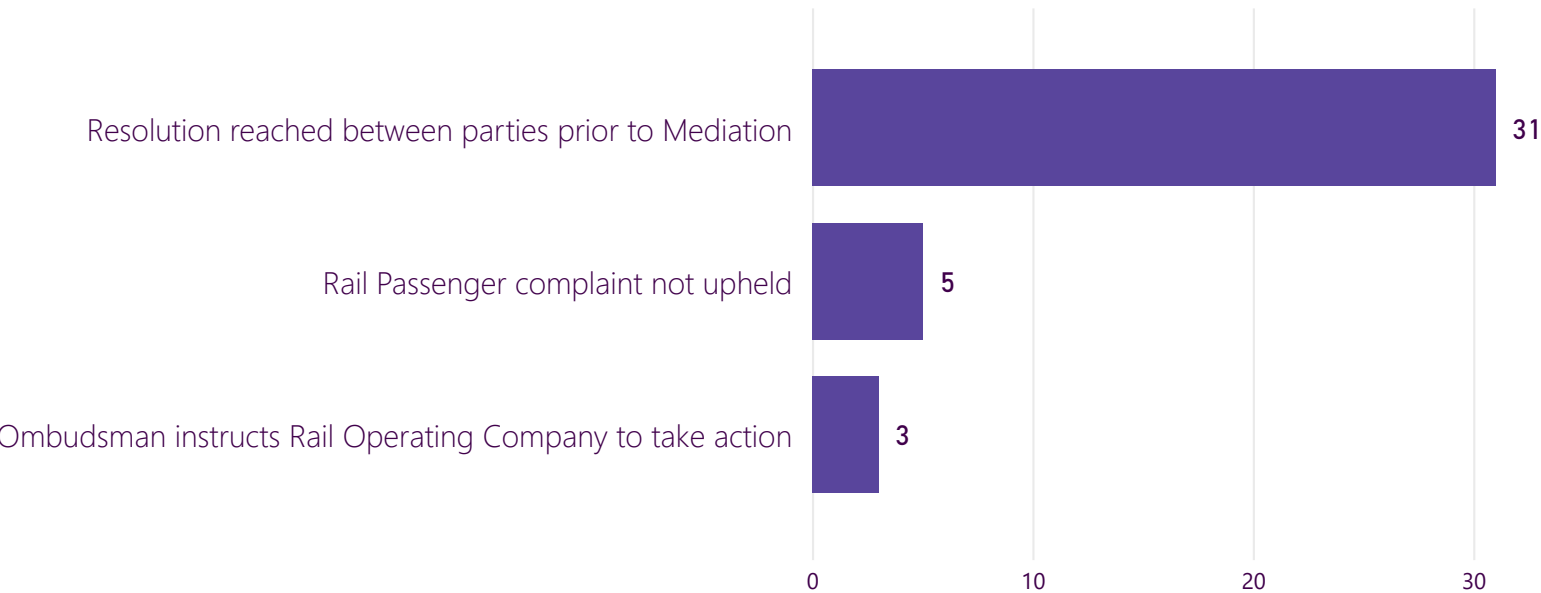
Reasons complaints referred to the Rail Ombudsman were assessed to be Out of Scope.

Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
No deadlock letter provided	43	8	51
Residential or lineside issues	15	1	16
Penalty fare appeals		14	14
Action being taken by alternative channel	7	2	9
Policy issues		7	7
Consumer withdrew	5		5
Human Resources	3		3
Planned service alterations/closures		3	3
Criminal claims	1	1	2
Parking charge notices	1	1	2
Parking ticket pricing		2	2
Already settled	1		1
Business to business		1	1
Campaigns/Petitions		1	1
Exceeds Max Award Limit		1	1
Total	76	42	118



13. Simple Resolution case outcomes

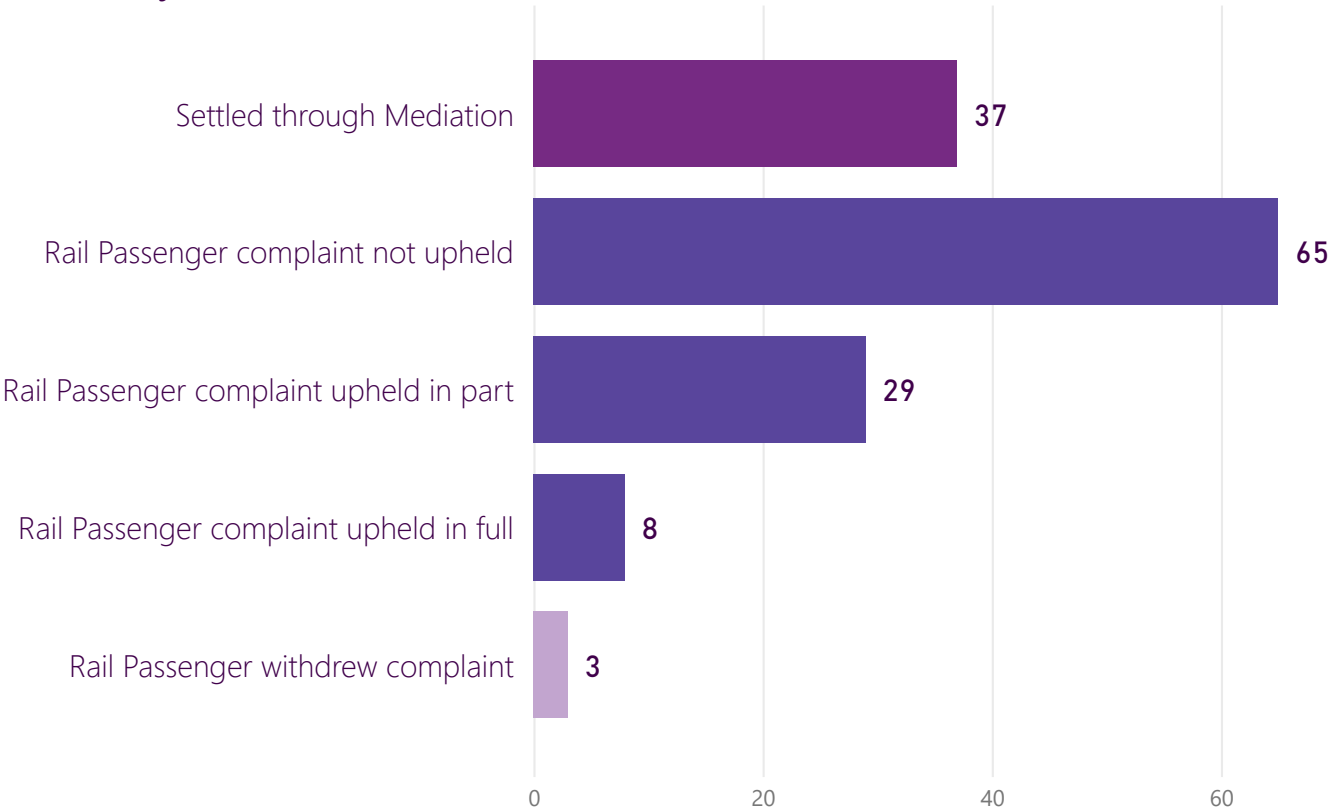
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

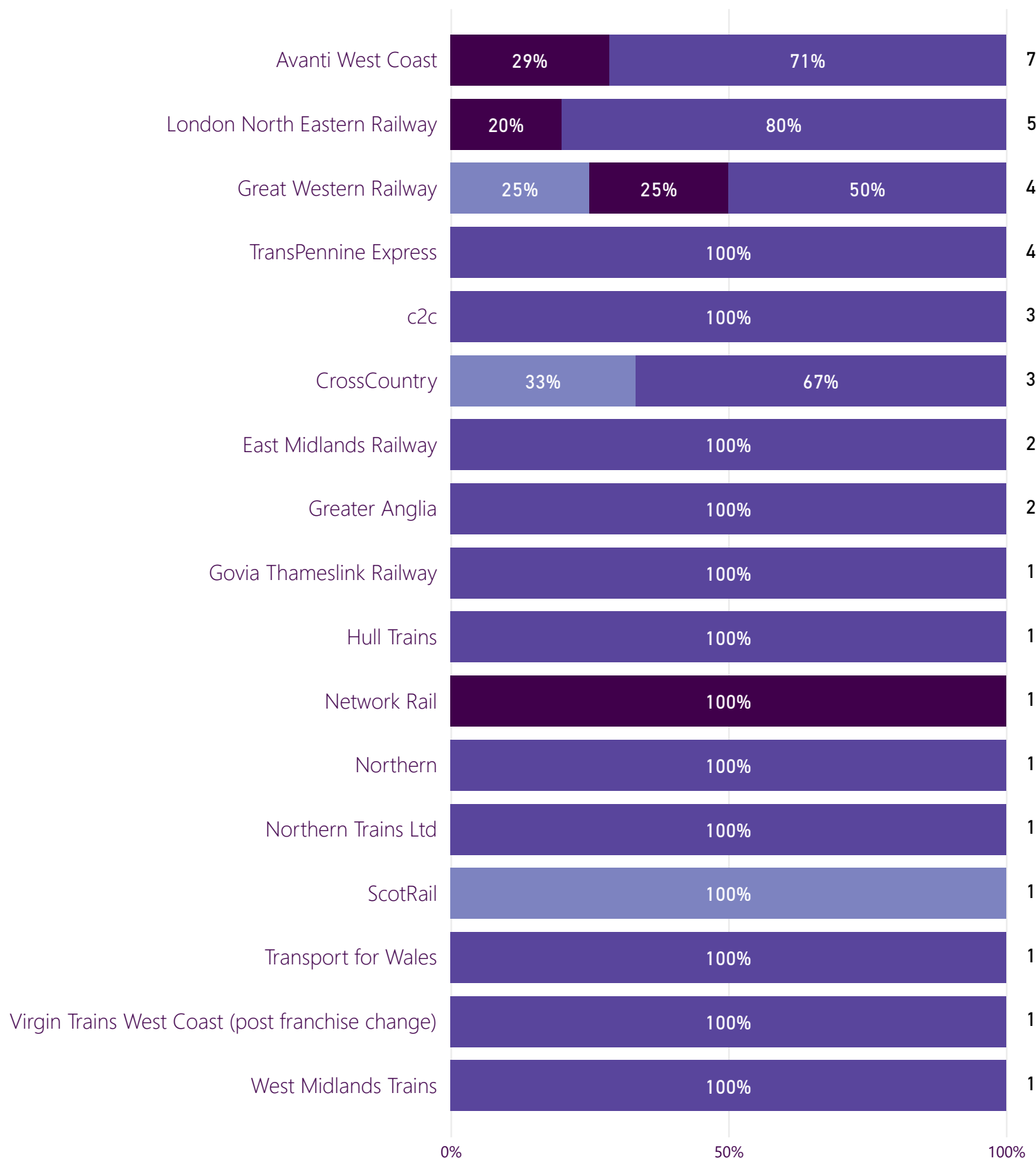




15. Simple Resolution case outcomes, by Participating Rail Operating Company

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

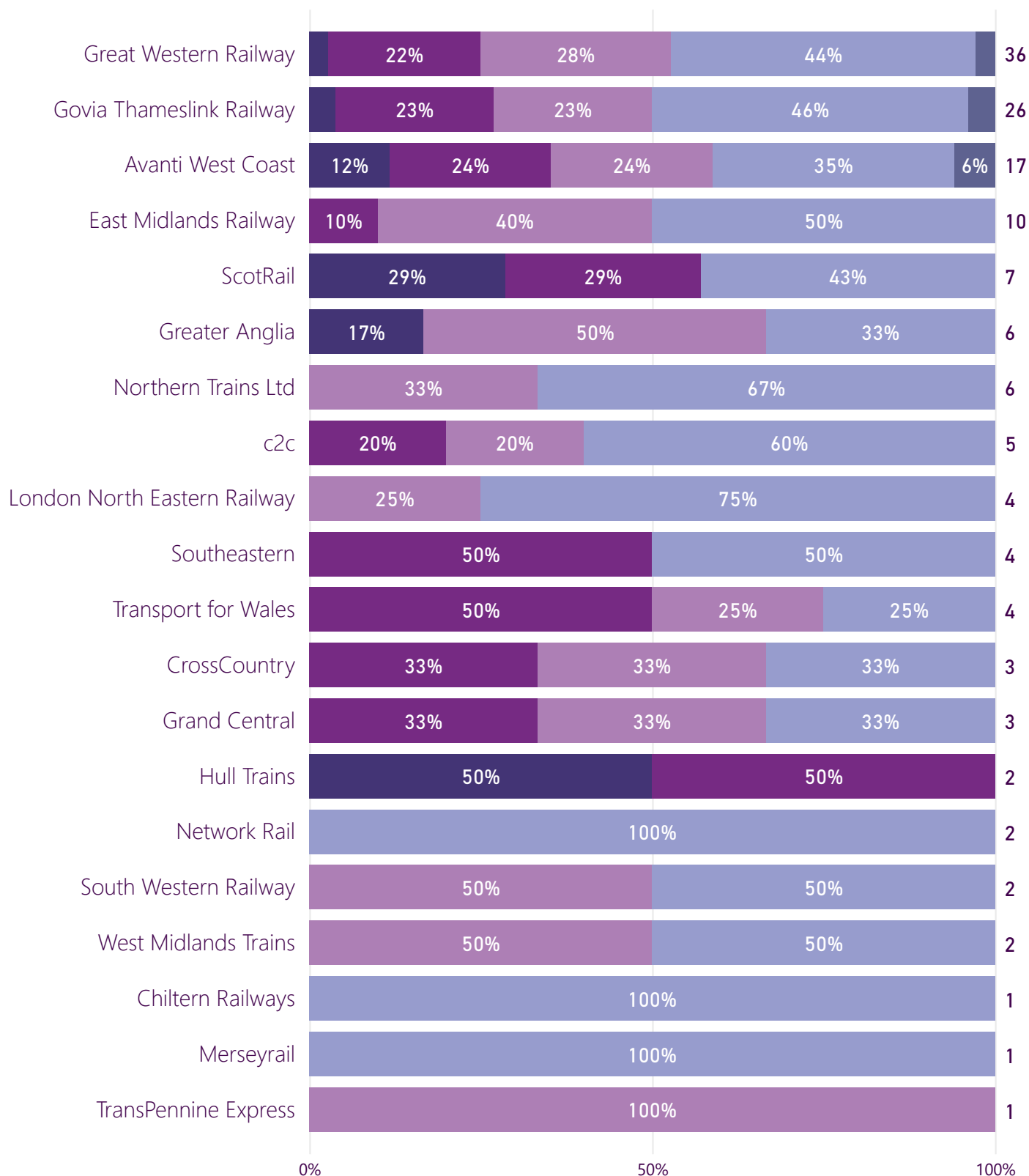




16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

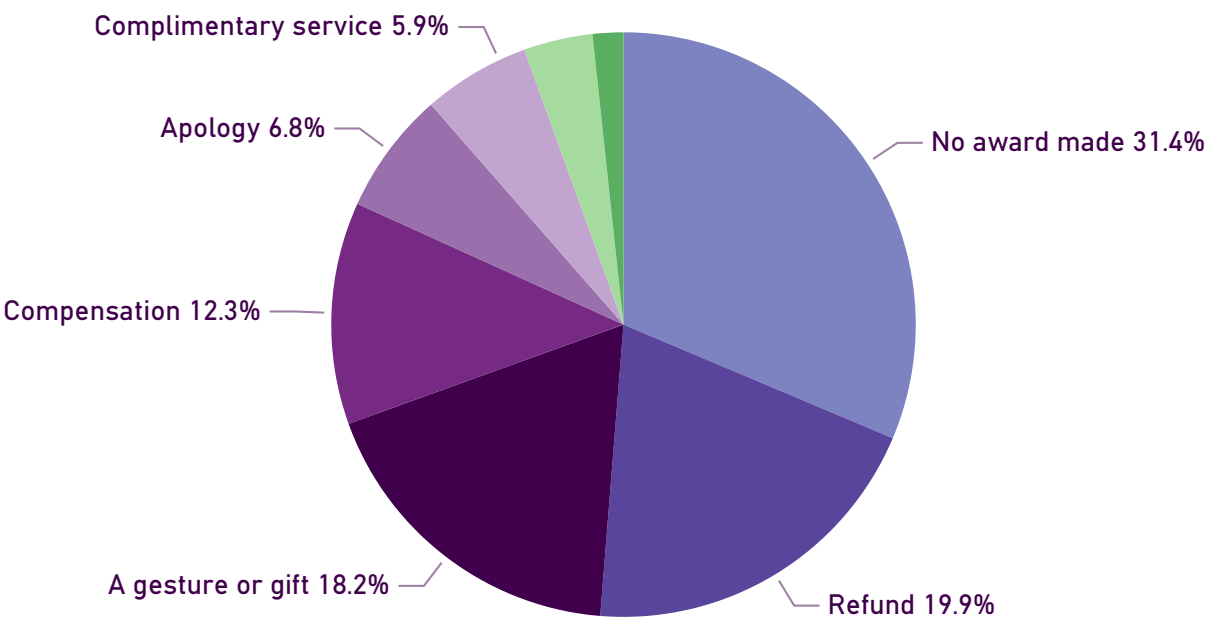
- Rail Passenger complaint upheld in full
- Rail Passenger complaint upheld in part
- Settled through Mediation
- Rail Passenger complaint not upheld
- Rail Passenger withdrew complaint



17. Resolution types and volume

Award type	No. of awards
A gesture or gift	43
Apology	16
Compensation	29
Complimentary service	14
Explanation	9
No award made	74
Prescribed refund *	4
Refund	47
Total	236

** 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
£67

Largest financial award
made *
£1,000

** Award represents a refund of season ticket*

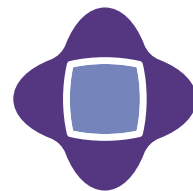


18. Resolution types and volume by Participating Rail Operating Company

Service Provider	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Total
Great Western Railway	8	2	8	2	2	18	2	9	51
Avanti West Coast	7	4	4	2	1	9		8	35
Govia Thameslink Railway	7		4	2	1	12	1	3	30
London North Eastern Railway	4		3	1		4		4	16
East Midlands Railway	2	1		3		5	1	3	15
c2c	2	2	4			3		3	14
TransPennine Express	3	5						4	12
Greater Anglia	2		2	1		2		2	9
ScotRail	1			1	1	5		1	9
Northern Trains Ltd	1				3	4			8
Cross Country	1					1		4	6
Southeastern	1		1			2		1	5
Transport for Wales				1	1	1		2	5
Hull Trains	1		2					1	4
Grand Central				1		1		1	3
Network Rail						3			3
West Midlands Trains	1					1		1	3
Northern	1	1							2
South Western	1					1			2
Virgin Trains (after transfer)		1	1						2
Chiltern Railways						1			1
Merseyrail						1			1
Total	43	16	29	14	9	74	4	47	236

* paid in accordance with the delay repay procedure

The Rail Ombudsman



www.railombudsman.org

Dates: 01/01/21 - 31/03/21