

Quarterly Statistical Report

Q1

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

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

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 1 include complaints raised in the previous quarter.

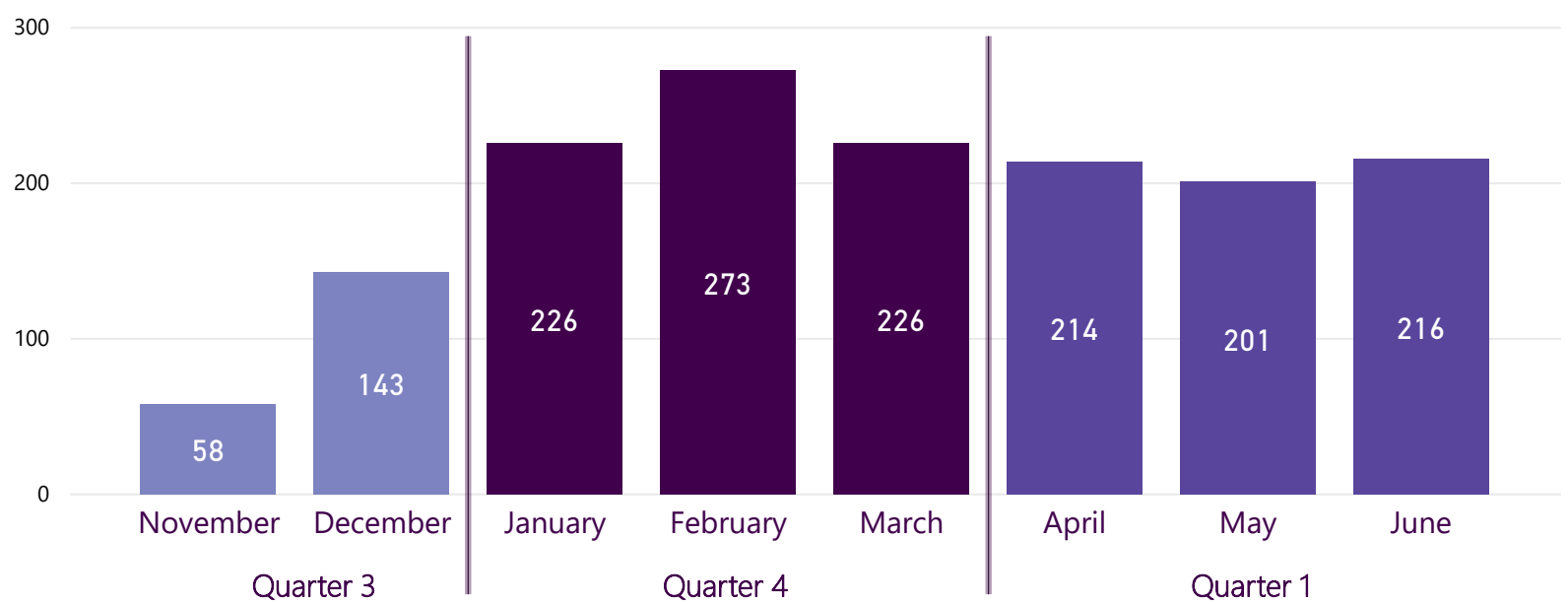


Quarter 1: Key Facts

	Quarter 1	vs Quarter 4
New cases referred to the Rail Ombudsman	631	-13%
Cases evaluated by the Rail Ombudsman	617	-8%
% Cases found to be In Scope for the scheme	49%	+20% pts
% Eligible cases referred to consumer advocacy bodies	30%	-29% pts
% Cases found to be Out of Scope: Ineligible	30%	+0% pts
Average financial award (where financial award secured)	£71	+13%

Delay compensation, train service performance and complaints handling remain the most common complaint categories and account for 50% of the total cases evaluated this Quarter.

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



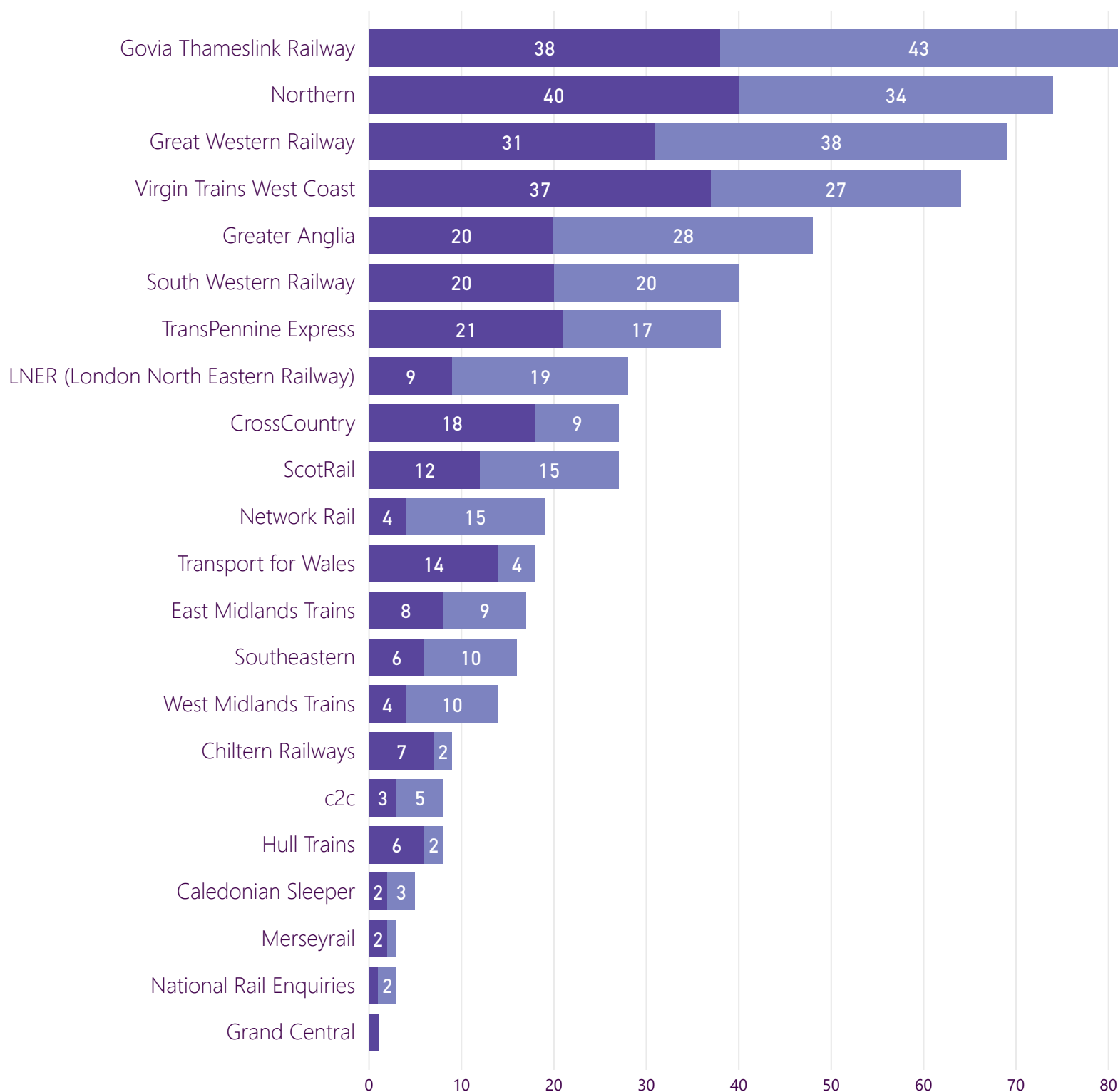
Total referred to the Rail Ombudsman in Quarter 1: 631

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

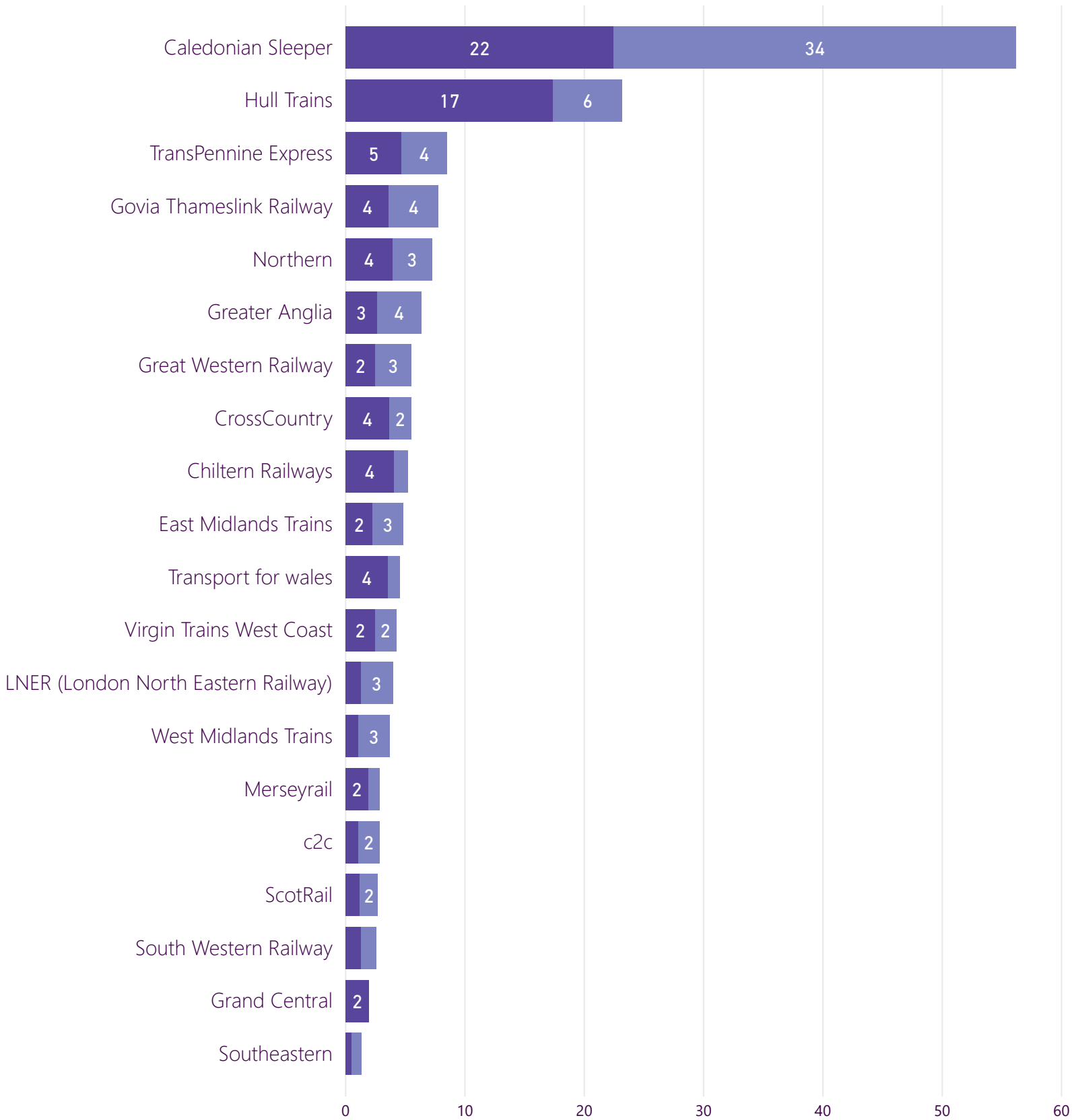




3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

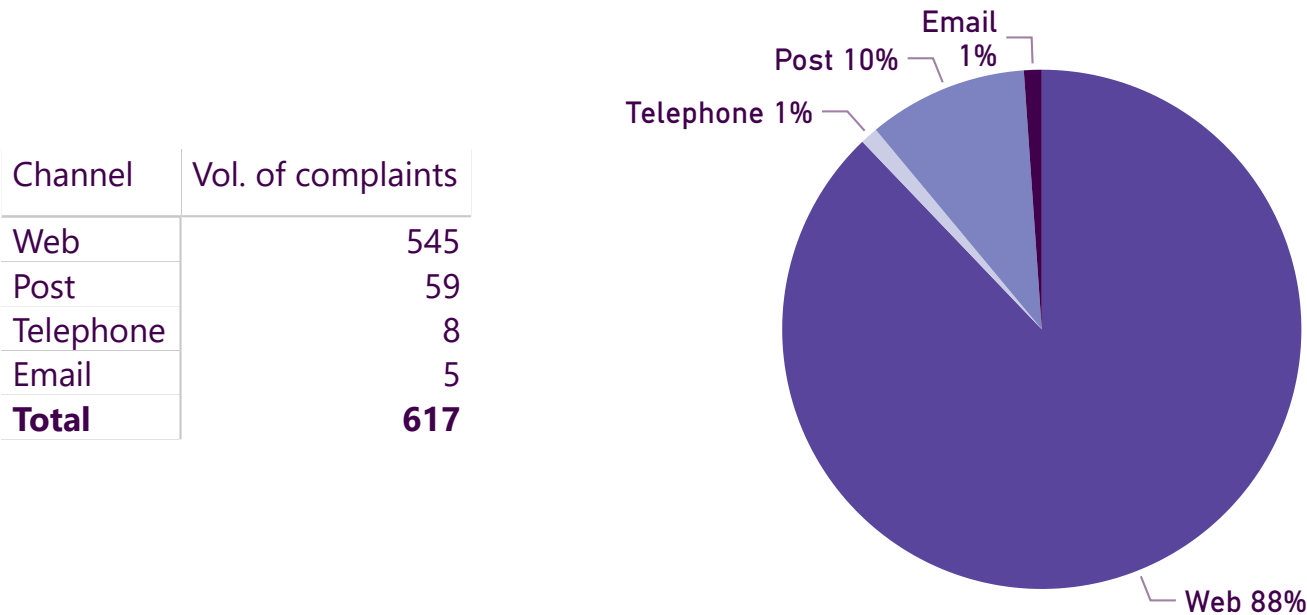
Volume of complaints assessed during Quarter 1 by Participating Rail Operating Company, normalised by Rail Operator complaints (scaled by 1000s for ease of reading).

● In Scope ● Out of Scope

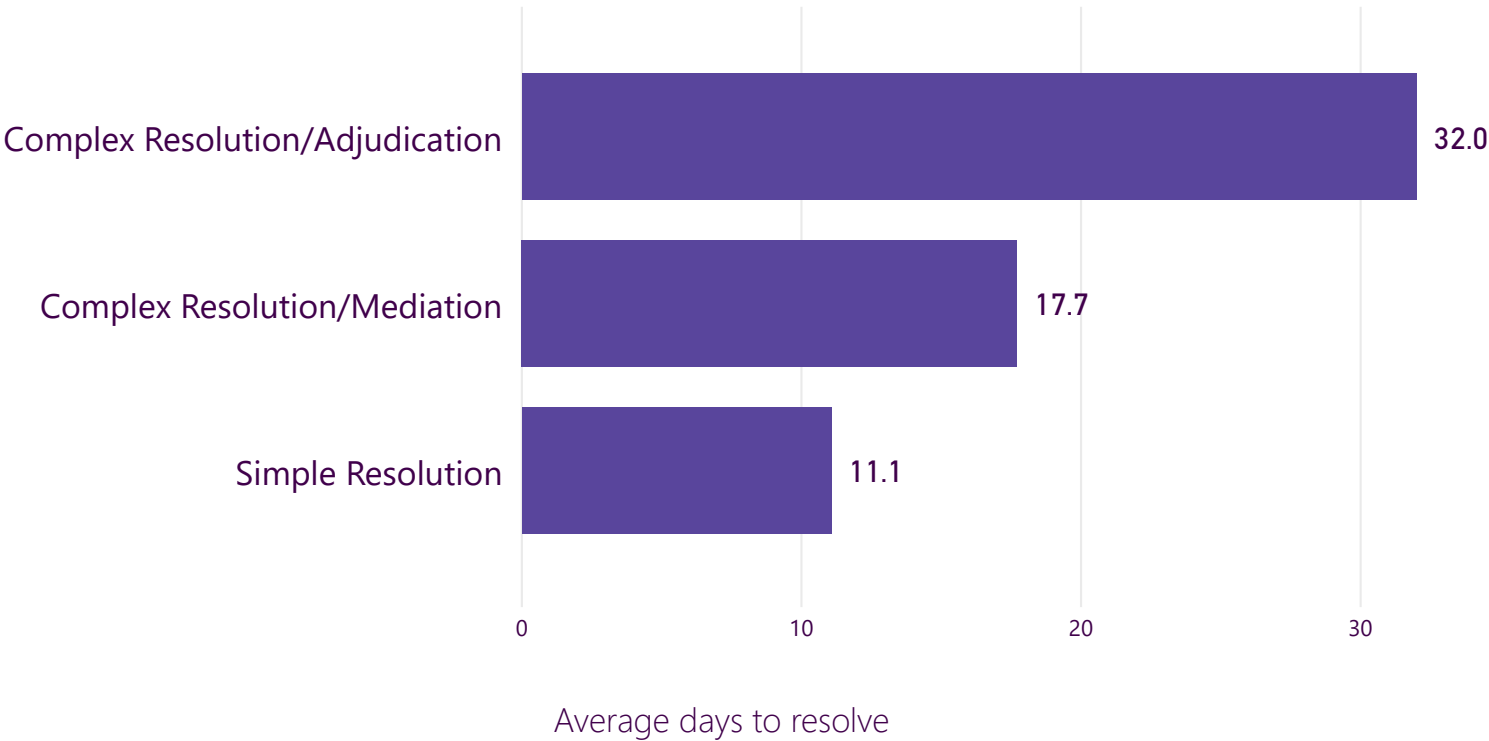


4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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

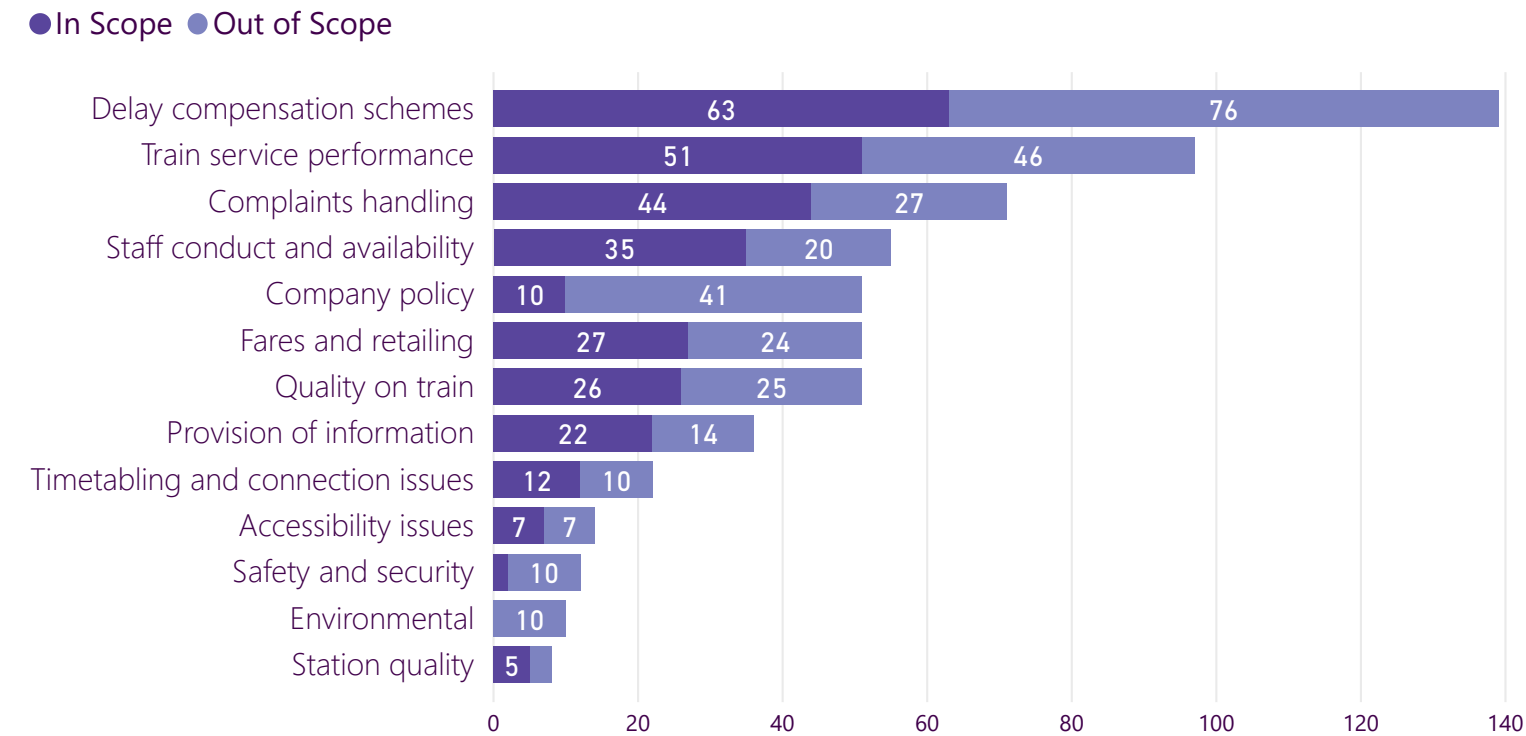


5. Average time to close In Scope complaints in working days

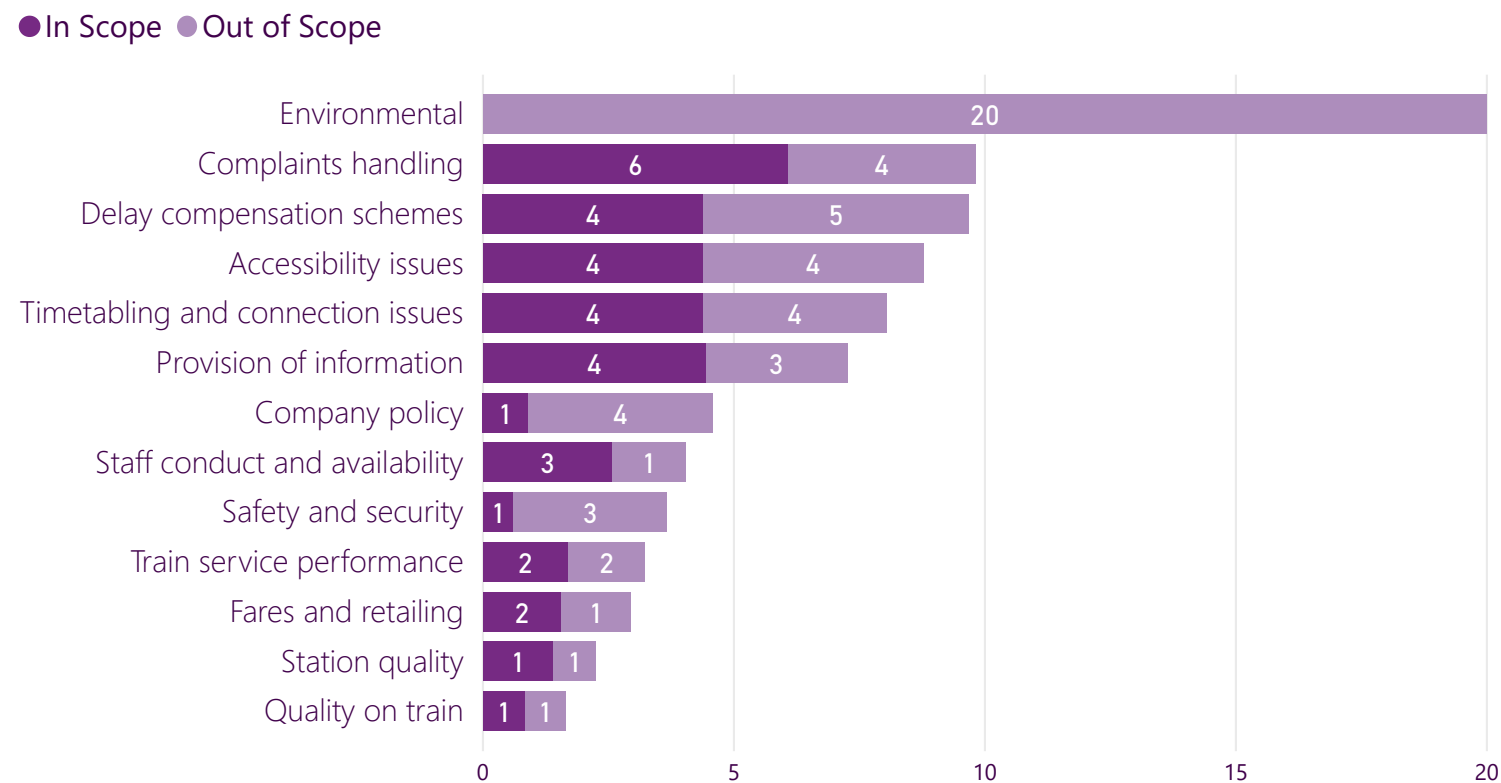




6. Complaints assessed by the Rail Ombudsman, by top level complaint category



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 result in Rail Ombudsman escalations.

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

Top level category	Second level category	Vol. of complaints
Accessibility issues	Assistance staff	4
Accessibility issues	Booked assistance not provided at station	5
Accessibility issues	Lack of disabled facilities at station/on train	1
Accessibility issues	Lack of information	1
Accessibility issues	Participating Rail Operating Company accessibility policy	1
Accessibility issues	The ease of being able to get on and off	1
Accessibility issues	Unable to view information at station/on train	1
Company policy	Onboard policy	1
Company policy	Other	4
Company policy	Ticketing and refunds policy	46
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	38
Complaints handling	No response from Participating Rail Operating Company	10
Complaints handling	Other	1
Complaints handling	Response time	6
Complaints handling	Staff member was impolite/unhelpful	2
Complaints handling	Unhappy at type/level of compensation	14
Delay compensation schemes	Awareness/promotion of schemes	4
Delay compensation schemes	Compensation claim rejected	45
Delay compensation schemes	Compensation claims process	43
Delay compensation schemes	Level of compensation	29
Delay compensation schemes	Other	2
Delay compensation schemes	Participating Rail Operating Company processing error	2
Delay compensation schemes	Speed of response	14
Environmental	Litter and contamination	1
Environmental	Noise pollution	3
Environmental	Other	4
Environmental	Overgrown vegetation	2
Fares and retailing	Other	9
Fares and retailing	Smartcards	8
Fares and retailing	Ticket buying facilities	16
Fares and retailing	Value for money of ticket price	18

Continued on next page.

Continued from previous page.

Top level category	Second level category	Vol. of complaints
Provision of information	Other	5
Provision of information	Provision of information about train times/platforms	20
Provision of information	Provision of information on website or mobile apps	4
Provision of information	The provision of information during the journey	7
Quality on train	Cleanliness of train	5
Quality on train	Facilities onboard	10
Quality on train	Other	6
Quality on train	Sufficient room for all passengers to sit/stand	20
Quality on train	The comfort of the seating area	1
Quality on train	The toilet facilities	5
Quality on train	Upkeep and repair of the train	4
Safety and security	Other	1
Safety and security	Personal security onboard	7
Safety and security	Personal security whilst using station	4
Staff conduct and availability	How request to station staff was handled	4
Staff conduct and availability	Other	2
Staff conduct and availability	The attitudes and helpfulness of the staff at station	25
Staff conduct and availability	The availability of staff - at station	5
Staff conduct and availability	The helpfulness and attitude of other staff (not on train/not at station)	5
Staff conduct and availability	The helpfulness and attitude of staff on train	14
Station quality	Facilities for car parking	2
Station quality	Other	3
Station quality	The facilities and services	3
Timetabling and connection issues	Connections with other forms of public transport	2
Timetabling and connection issues	Connections with other train services	10
Timetabling and connection issues	Routing	1
Timetabling and connection issues	The frequency of the trains on that route	3
Timetabling and connection issues	Timetabling	6
Train service performance	Other	1
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	96

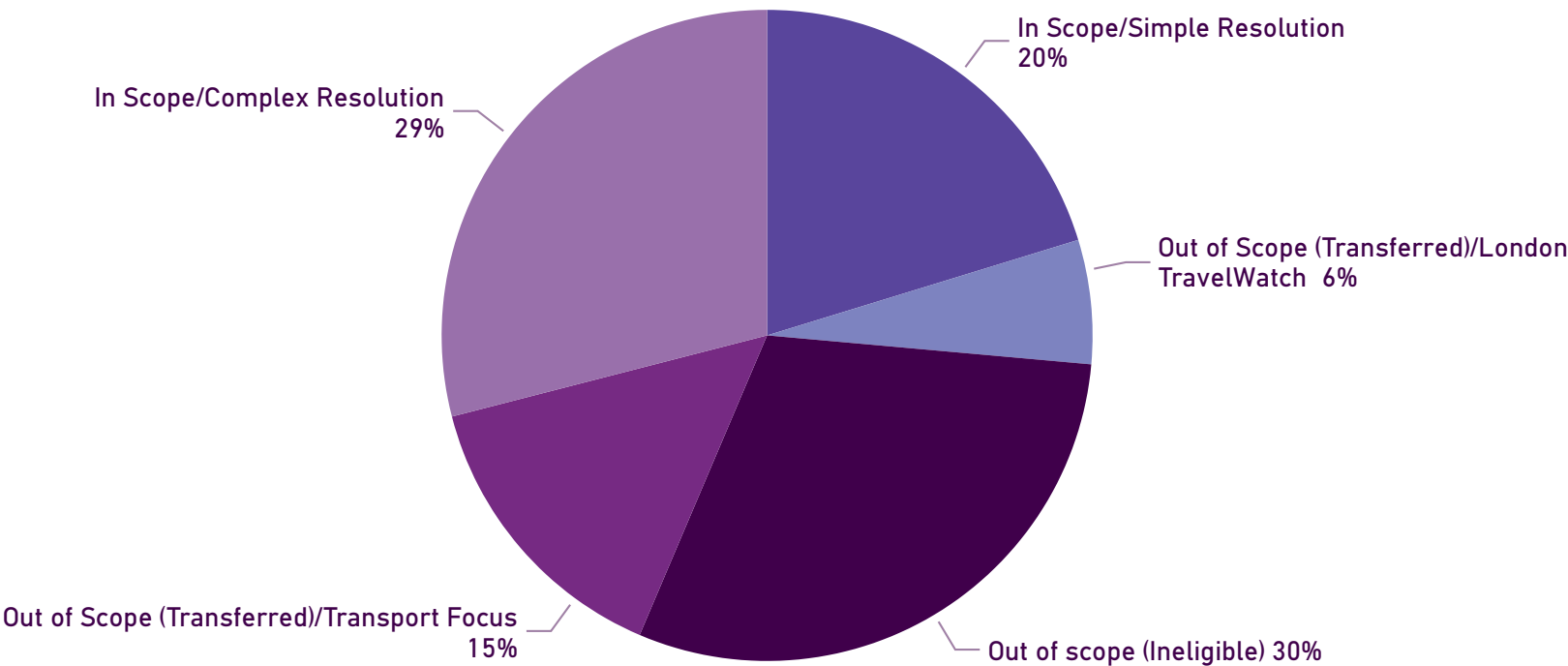


9. Volumes assessed as In Scope or Out of Scope

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	179
In Scope/Simple Resolution	125
Out of scope (Ineligible)	185
Out of Scope (Transferred)/London TravelWatch	38
Out of Scope (Transferred)/Transport Focus	90
Total	617

Of the 617 complaints we assessed, 49% (304 complaints) were In Scope, 30% (185) were deemed to be Out of Scope and Ineligible for the scheme and 21% (128) were transferred to consumer advocacy bodies. See table 12 on page 11 for the reasons why some complaints were found to be ineligible.



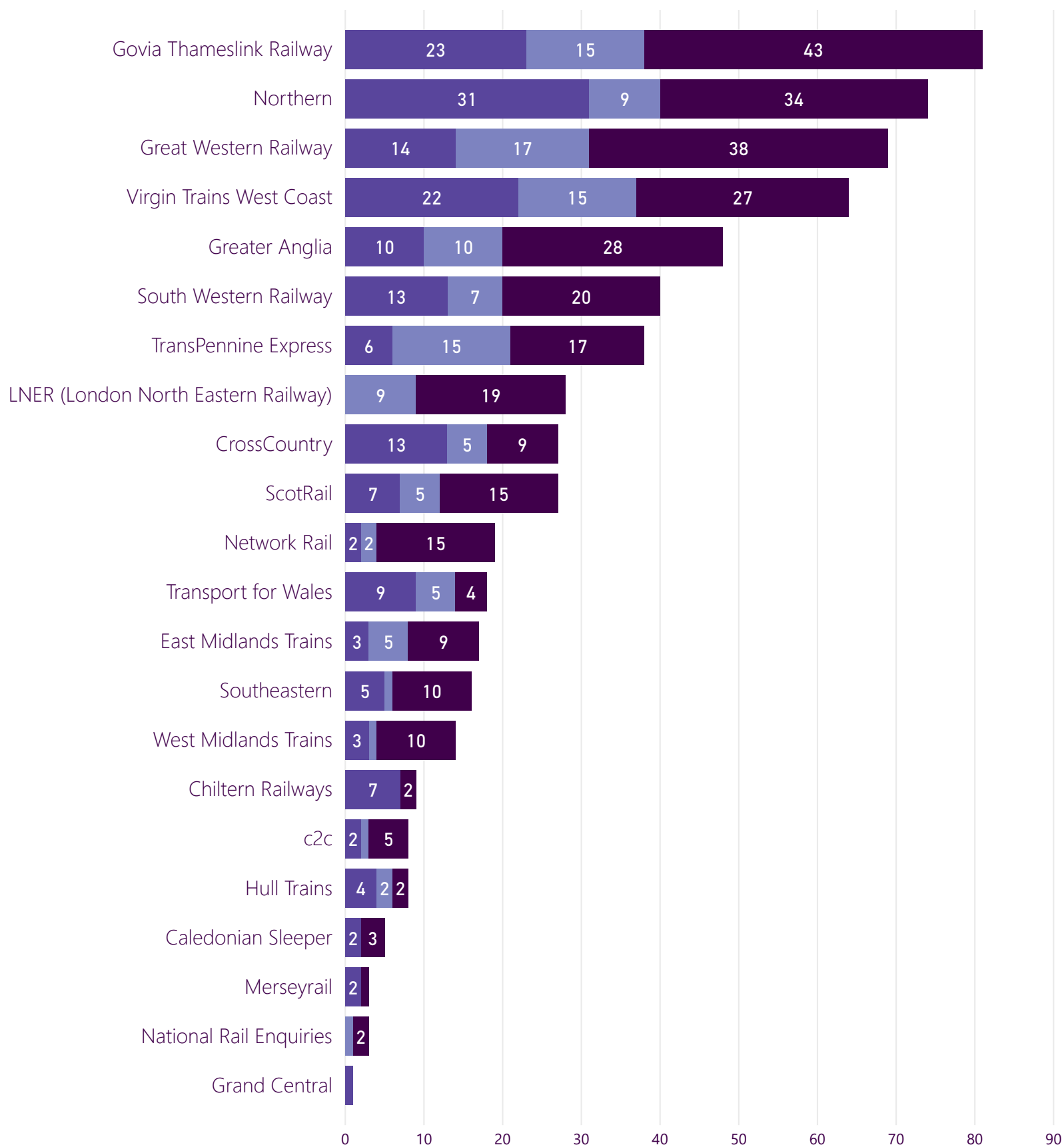
Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.



10. Complaint classifications by Participating Rail Operating Company

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

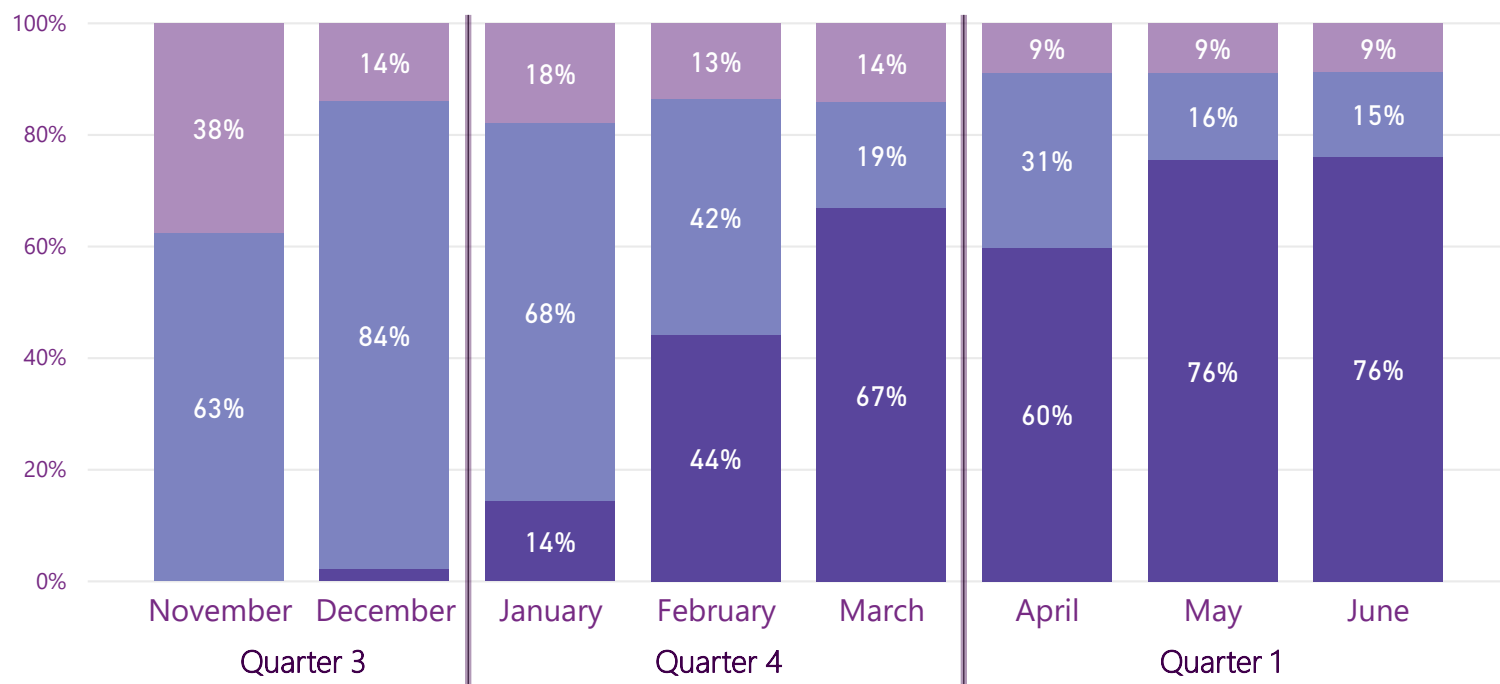
● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of scope





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

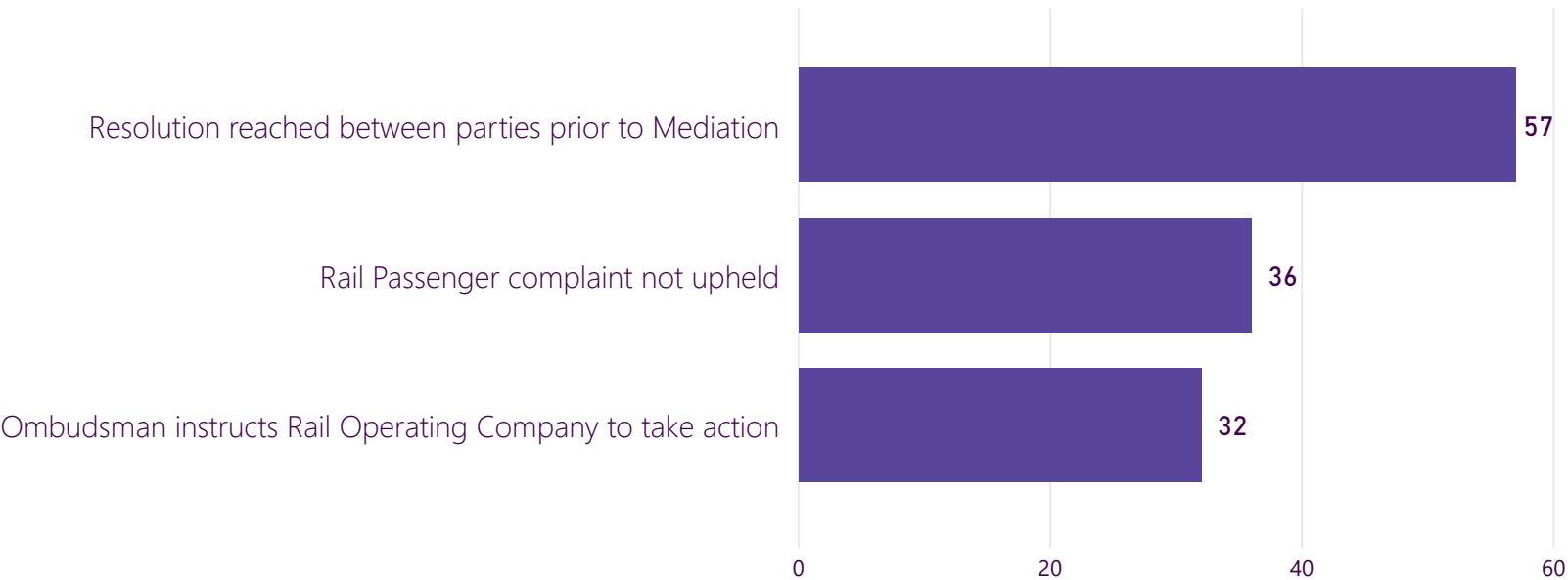
Reasons complaints referred to the Rail Ombudsman were assessed to be Out of Scope.

Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
No deadlock letter provided	134		134
Incident date prior to Ombudsman launch	4	81	85
Policy issues	10	31	41
Penalty fare appeals		12	12
Action being taken by alternative channel	9		9
Already settled	8		8
Personal injury claim	7		7
Residential or lineside issues	7		7
Business to business	2	4	6
Criminal claims	2		2
Consumer withdrew	1		1
Parking charge notices	1		1
Total	185	128	313



13. Simple Resolution case outcomes

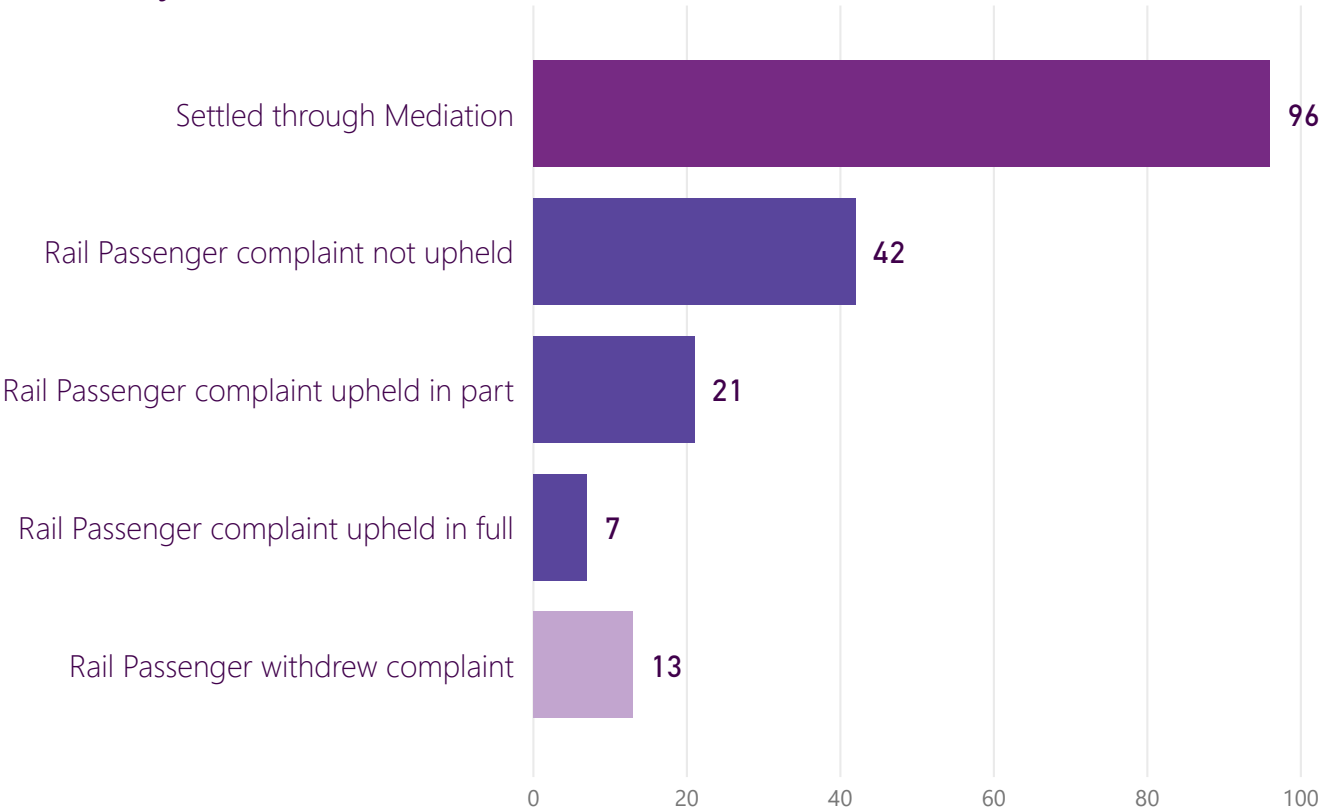
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

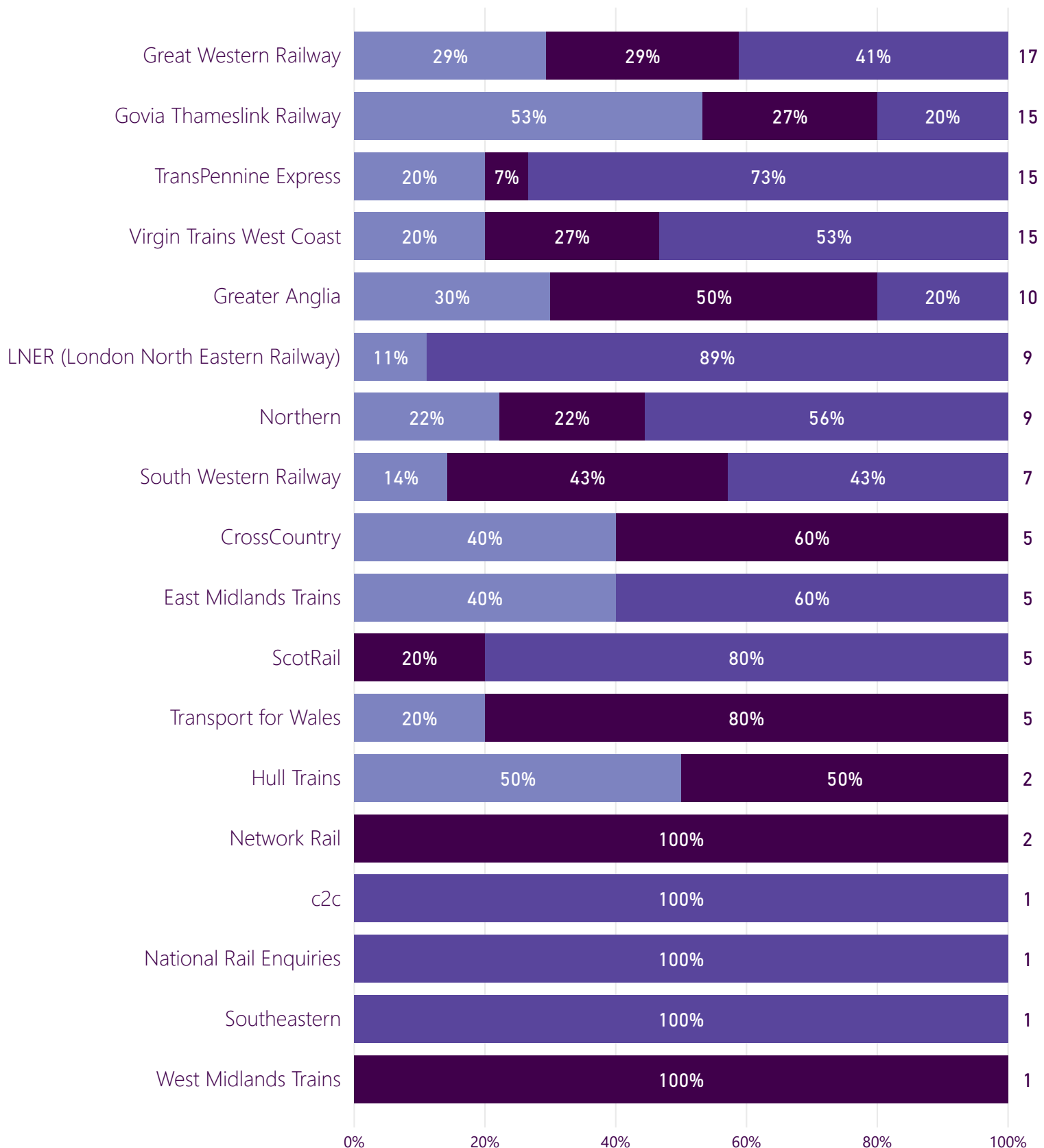




15. Simple Resolution case outcomes, by Participating Rail Operating Company

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

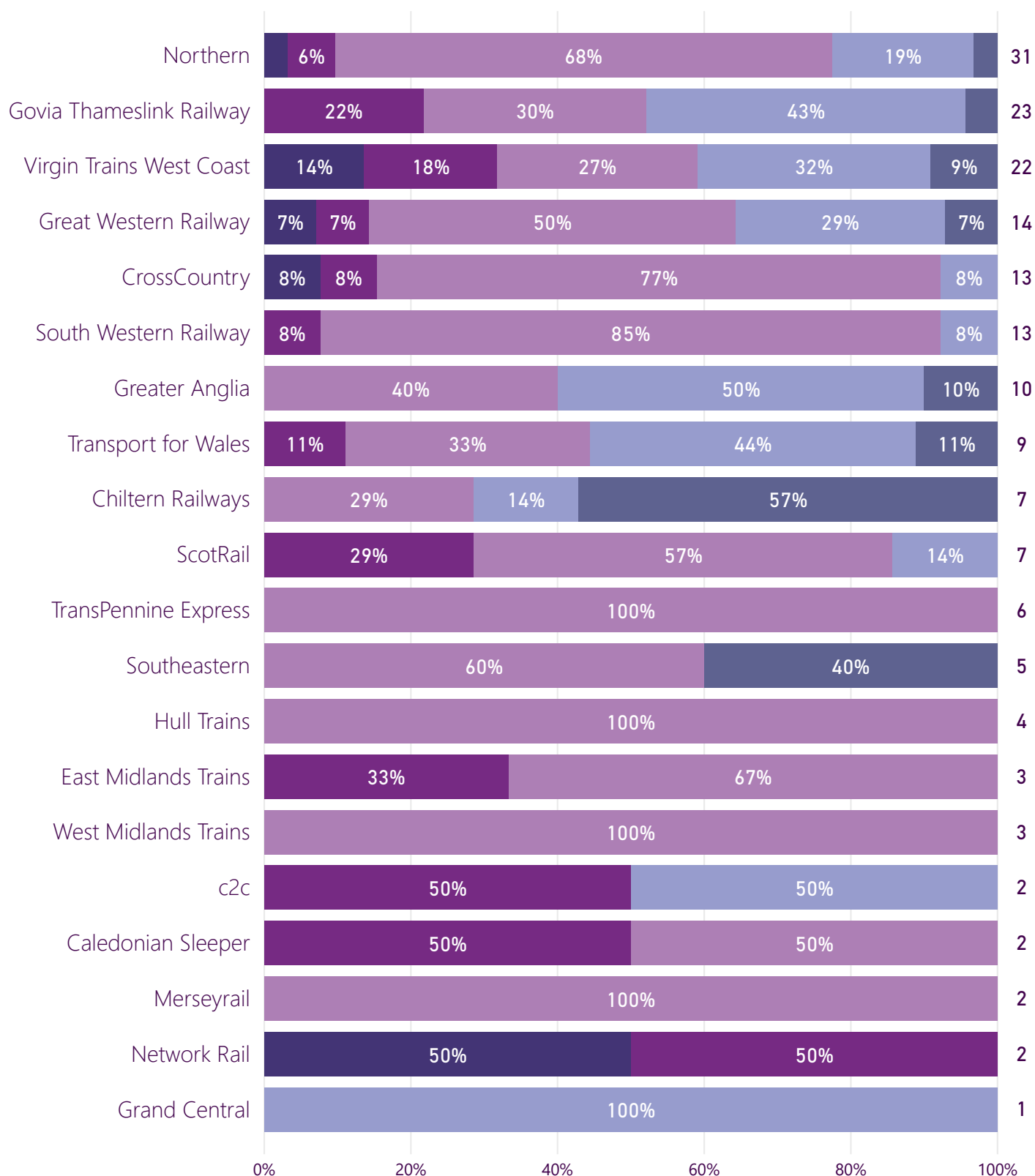




16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

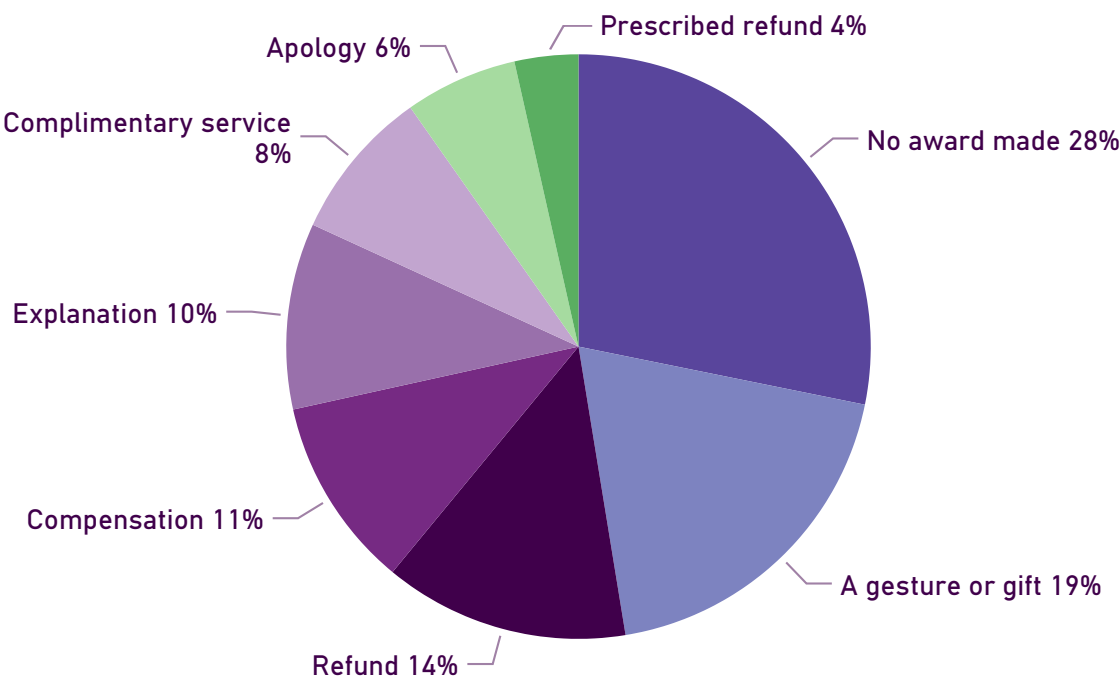




17. Resolution types and volume

Award type	No. of awards
A gesture or gift	71
Apology	23
Compensation	39
Complimentary service	31
Explanation	38
No award made	104
Prescribed refund *	13
Refund	50
Total	369

** 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
£71

Largest financial award
made
£746

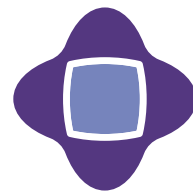


18. Resolution types and volume by Participating Rail Operating Company

Service Provider	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Total
Northern	10	4	4	8	6	8	1	8	49
Virgin Trains	9		5	5	3	20		1	43
Govia Thameslink Railway	5	1	4	1		22	3	4	40
Great Western Railway	8	3	3	2	2	12		8	38
TransPennine Express	10	2	5		2		1	7	27
Greater Anglia	2	2			4	13		2	23
South Western	4	1	3	2	4	2	4	3	23
Cross Country	3		3	5	3	4		3	21
LNER (London North Eastern Railway)	5	4	4	3				4	20
ScotRail	4	1	2		4	2	2	3	18
Transport for Wales	1		2		2	9			14
East Midland Trains		1	1	2		1	1	3	9
Southeastern	1	1			3	2		1	8
Chiltern Railways			1		1	5			7
Hull Trains	4	1						2	7
Network Rail		2	1		1	1		1	6
West Midland Trains	2			2	1	1			6
c2c	1					1	1		3
Caledonian Sleeper Train			1	1	1				3
Merseyrail	1				1				2
Grand Central						1			1
National Rail Enquiries	1								1
Total	71	23	39	31	38	104	13	50	369

* paid in accordance with the delay repay procedure

The Rail Ombudsman



www.railombudsman.org

Dates: 01/04/19 - 30/06/19