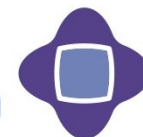


# Quarterly Statistical Report

# Q3

Dates: 01/10/20 - 31/12/20



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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/>

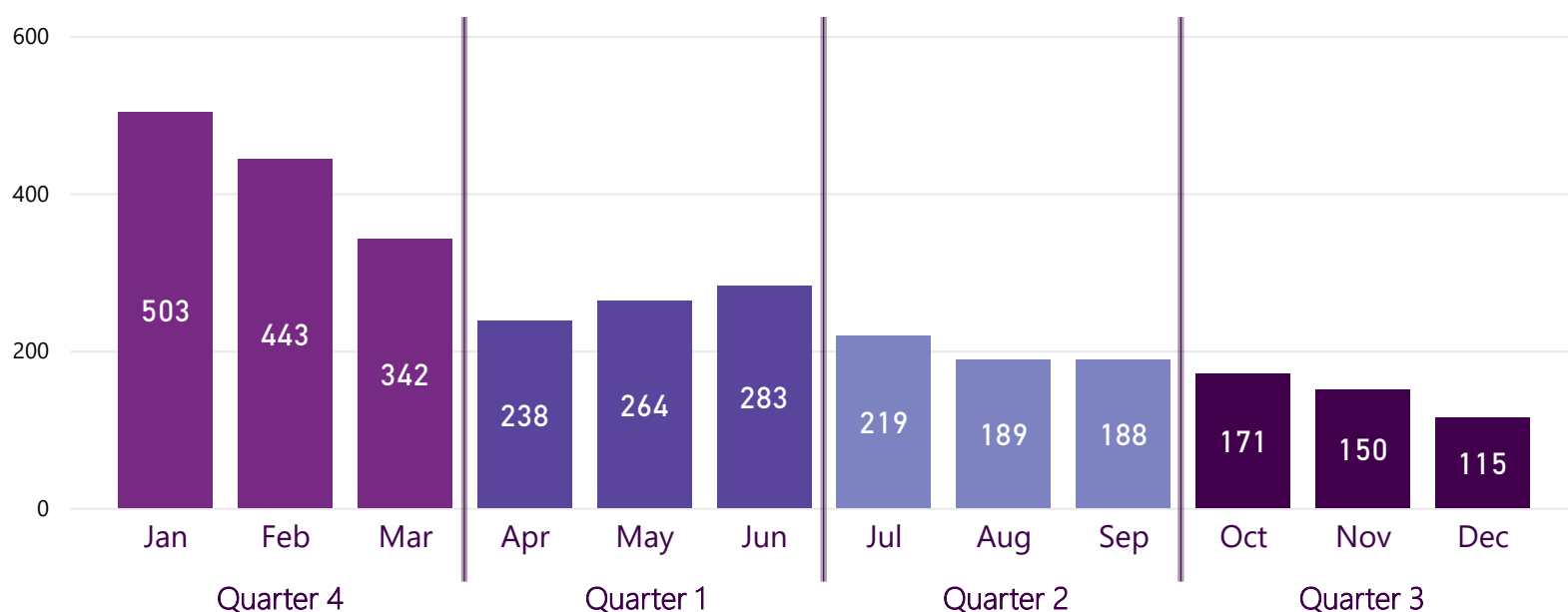
Complaints evaluated / closed by the Rail Ombudsman during Quarter 3 include complaints raised in the previous quarter.

## Quarter 3: Key Facts

|   | Quarter 3 | vs Quarter 2 | vs Last Year<br>Quarter 3 |
|---|-----------|--------------|---------------------------|
| New cases referred to the Rail Ombudsman                | 436       | -27%         | -59%                      |
| Cases evaluated by the Rail Ombudsman                   | 433       | -37%         | -56%                      |
| % Cases found to be In Scope for the scheme             | 54%       | -7% pts      | -8% pts                   |
| % Cases referred to consumer advocacy bodies            | 17%       | +4% pts      | +9% pts                   |
| % Cases found to be Out of Scope: Ineligible            | 30%       | +4% pts      | -3% pts                   |
| Average financial award (where financial award secured) | £273      | +3%          | +200%                     |

With continued Covid-19 restrictions in place, this quarter 'Company policy' remained the largest complaint category accounting for 38% of cases evaluated, with 'Complaints handling' (18%) and 'Delay compensation schemes' (14%) remaining in 2nd and 3rd place.

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



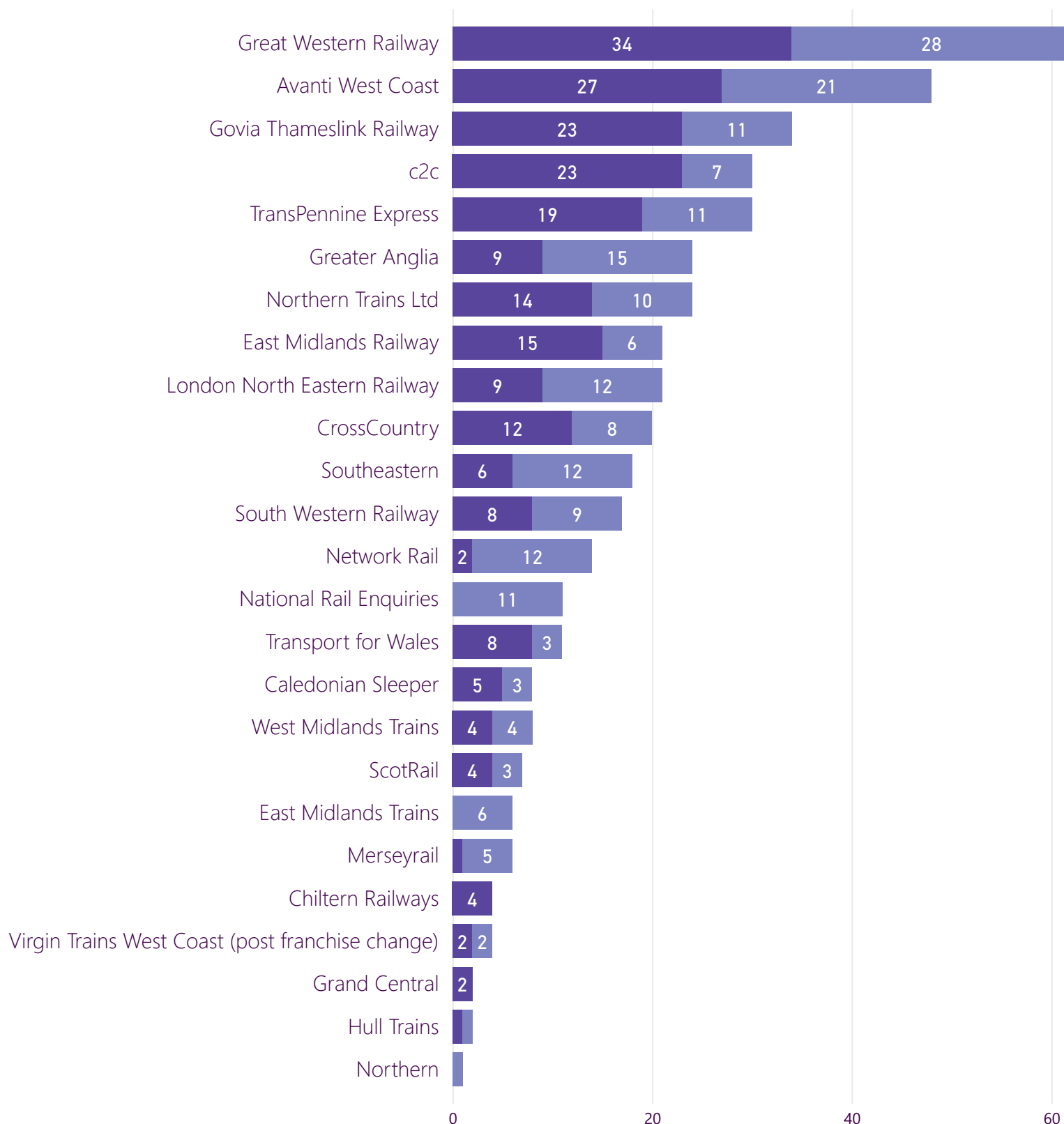
Total referred to the Rail Ombudsman in Quarter 3: 436

*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

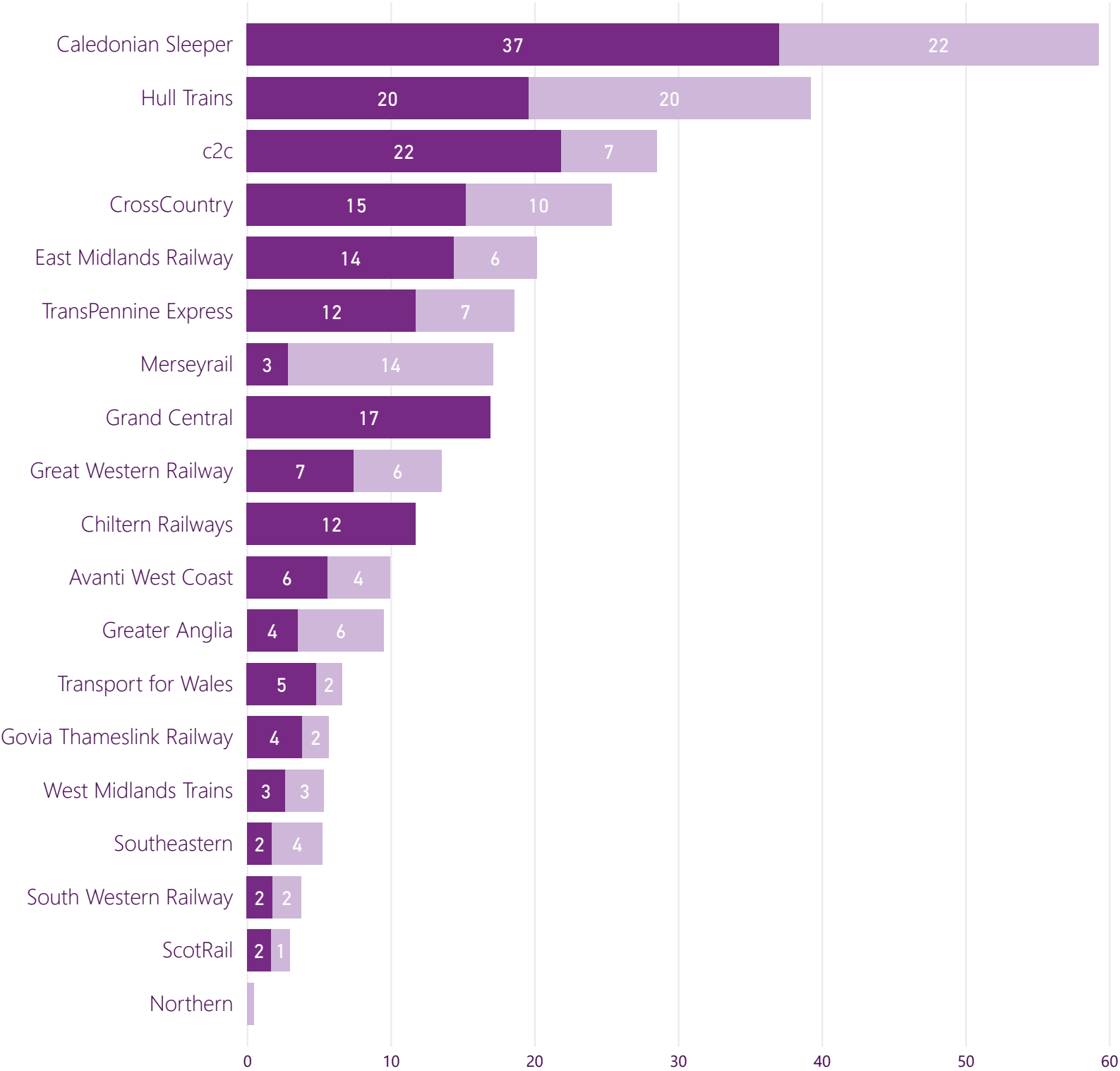




3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

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



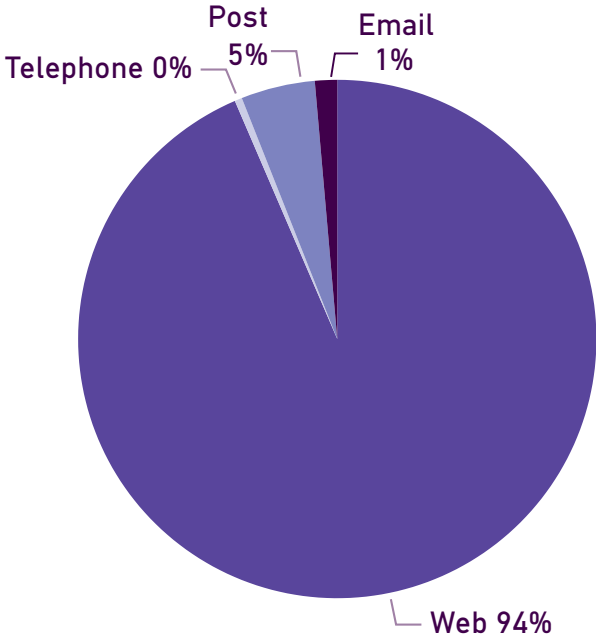
(Rail Operators' complaint volumes source: ORR)

Caledonian Sleeper and Hull Trains both had very low complaint volumes but escalated a larger proportion of these to the Ombudsman than other Rail Service Providers.

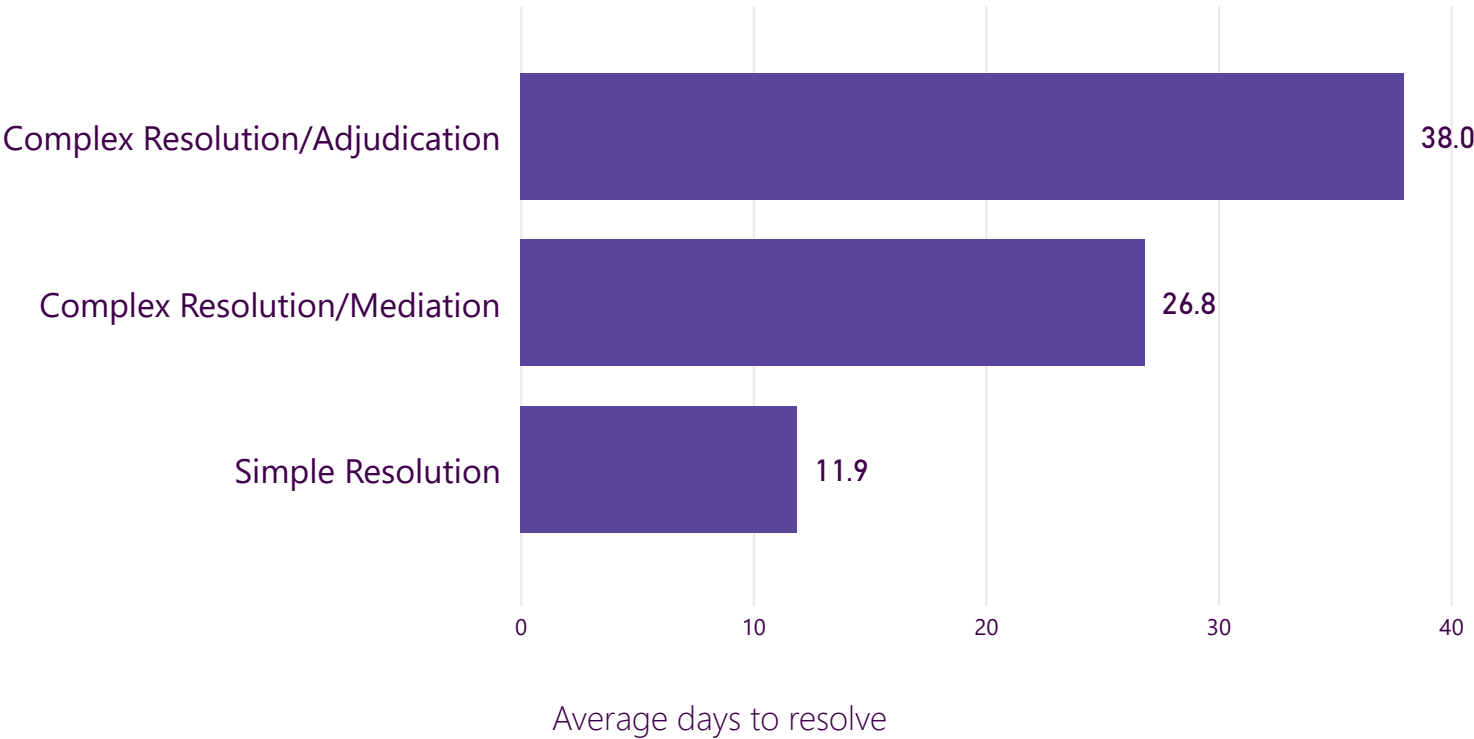
4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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          | 405                |
| Post         | 20                 |
| Email        | 6                  |
| Telephone    | 2                  |
| <b>Total</b> | <b>433</b>         |

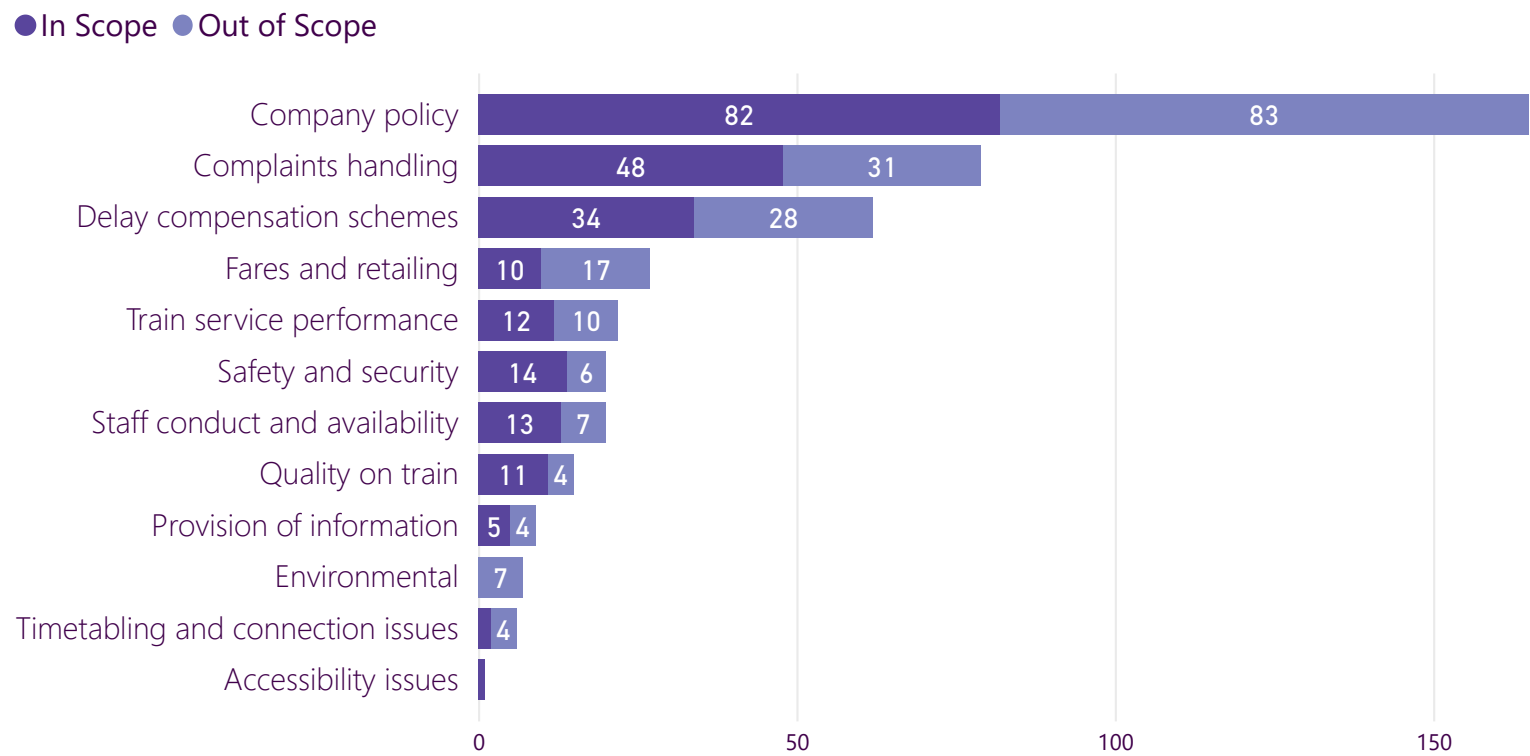


5. Average time to close In Scope complaints in working days

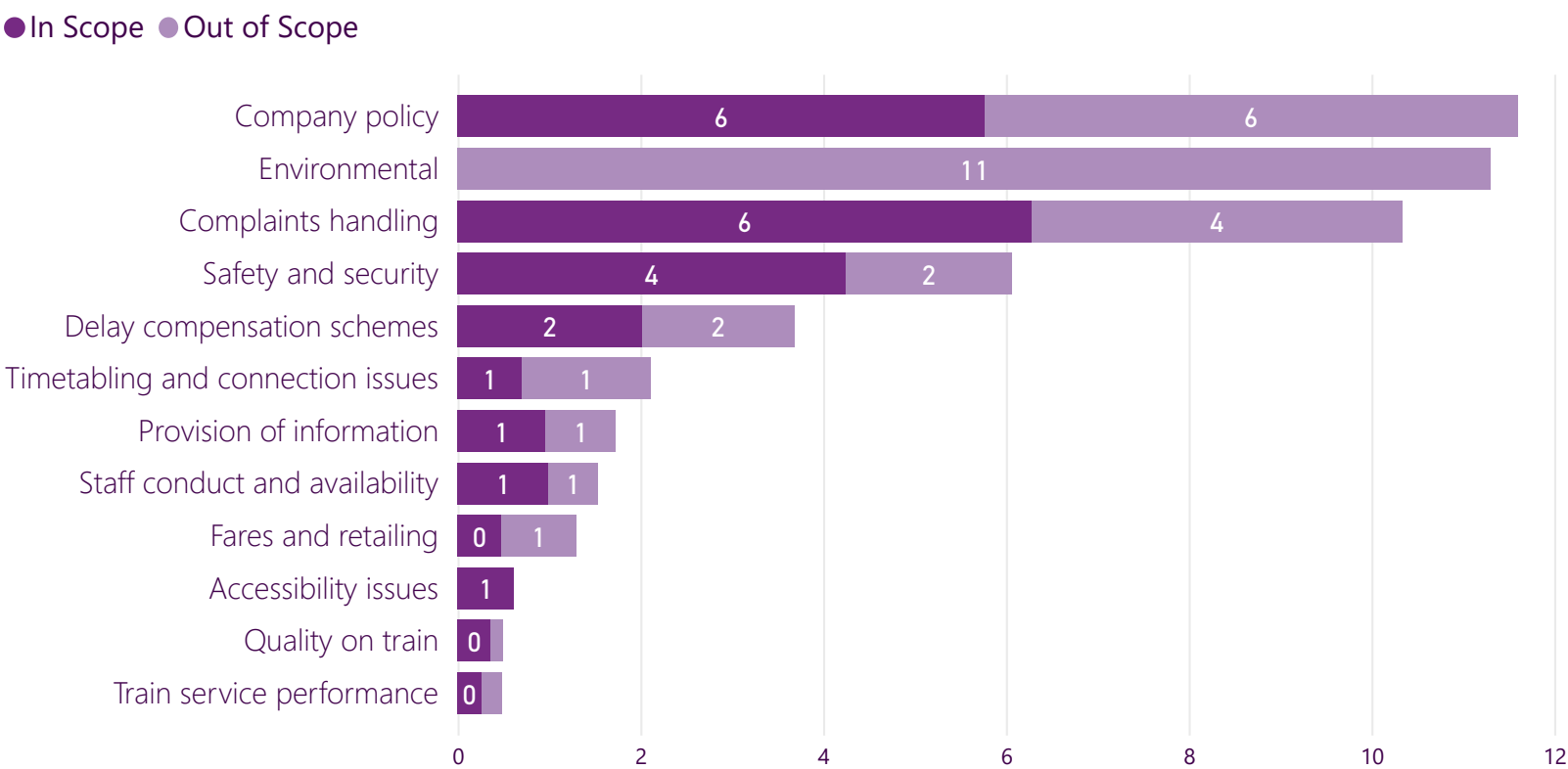




6. Complaints assessed by the Rail Ombudsman, by top level complaint category



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       | Lack of disabled facilities at station/on train                                  | 1                  |
| Company policy             | Onboard policy   | 2                  |
| Company policy             | Ticketing and refunds policy   | 163                |
| Complaints handling        | Complaint not received   | 2                  |
| Complaints handling        | Complaints not fully addressed/fulfilled by Participating Rail Operating Company | 54                 |
| Complaints handling        | No response from Participating Rail Operating Company                            | 7                  |
| Complaints handling        | Other  | 2                  |
| Complaints handling        | Response time  | 1                  |
| Complaints handling        | Staff member was impolite/unhelpful  | 1                  |
| Complaints handling        | Unhappy at type/level of compensation  | 12                 |
| Delay compensation schemes | Compensation claim rejected  | 35                 |
| Delay compensation schemes | Compensation claims process  | 9                  |
| Delay compensation schemes | Level of compensation  | 12                 |
| Delay compensation schemes | Other  | 3                  |
| Delay compensation schemes | Speed of response  | 3                  |
| Environmental              | Noise pollution  | 5                  |
| Environmental              | Other  | 2                  |
| Fares and retailing        | Other  | 10                 |
| Fares and retailing        | Smartcards   | 3                  |
| Fares and retailing        | Ticket buying facilities   | 12                 |
| Fares and retailing        | Value for money of ticket price  | 2                  |
| Provision of information   | Provision of information about train times/platforms                             | 2                  |
| Provision of information   | Provision of information on website or mobile apps                               | 2                  |
| Provision of information   | The provision of information during the journey                                  | 5                  |
| Quality on train           | Cleanliness of train   | 1                  |
| Quality on train           | Facilities onboard   | 7                  |
| Quality on train           | Other  | 1                  |
| Quality on train           | Sufficient room for all passengers to sit/stand                                  | 4                  |
| Quality on train           | The toilet facilities  | 1                  |
| Quality on train           | Upkeep and repair of the train   | 1                  |
| Safety and security        | Other  | 2                  |
| Safety and security        | Personal security onboard  | 11                 |
| Safety and security        | Personal security whilst using station   | 7                  |

*Continued on next page.*

*Continued from previous page.*

| 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   | 2                  |
| Staff conduct and availability    | The attitudes and helpfulness of the staff at station                     | 6                  |
| Staff conduct and availability    | The availability of staff - at station                                    | 2                  |
| 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                            | 7                  |
| Timetabling and connection issues | Connections with other forms of public transport                          | 2                  |
| Timetabling and connection issues | Other   | 1                  |
| Timetabling and connection issues | The frequency of the trains on that route                                 | 1                  |
| Timetabling and connection issues | Timetabling   | 2                  |
| Train service performance         | Other   | 1                  |
| Train service performance         | Punctuality/reliability (i.e. the train arriving/departing on time)       | 21                 |

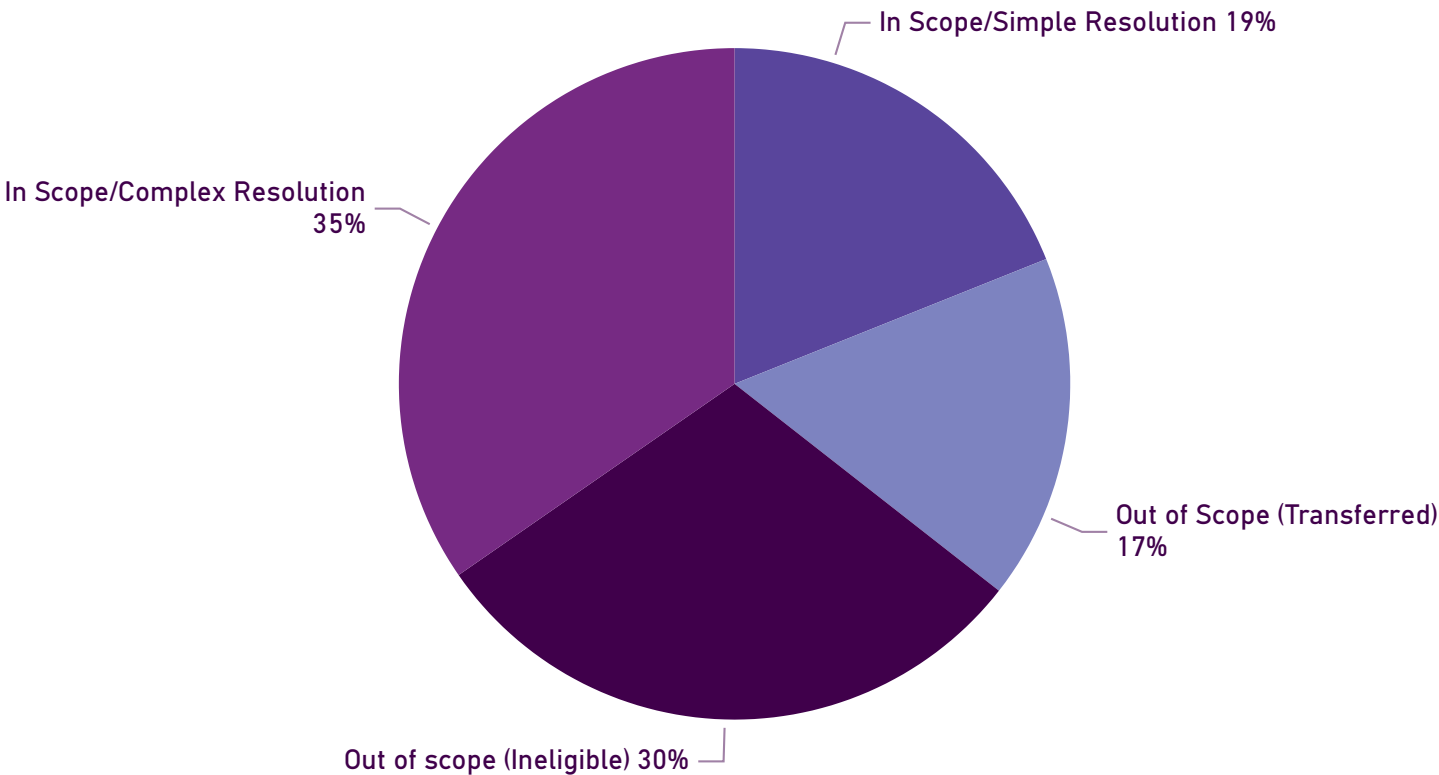


9. Volumes assessed as In Scope or Out of Scope

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                   | 150               |
| In Scope/Simple Resolution                    | 82                |
| Out of scope (Ineligible)                     | 129               |
| Out of Scope (Transferred)/London TravelWatch | 72                |
| <b>Total</b>                                  | <b>433</b>        |

Of the 433 complaints assessed in Quarter 3, 54% (232 complaints) were In Scope, 30% (129) were deemed to be Out of Scope and Ineligible for the scheme (59% of which were due to no deadlock letter provided). 17% (72) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

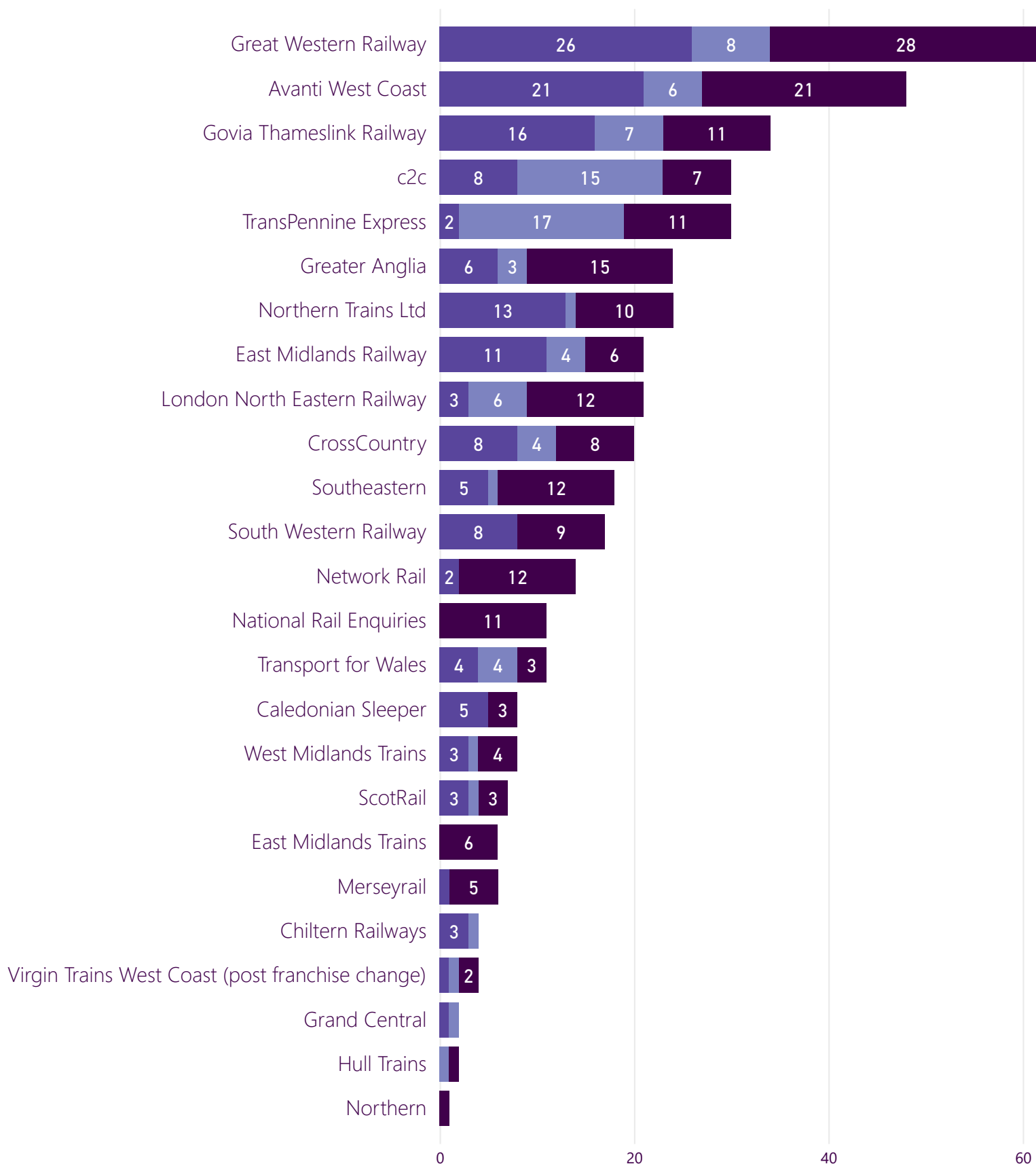


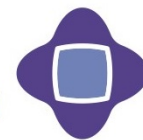
Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.

## 10. Complaint classifications by Participating Rail Operating Company

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

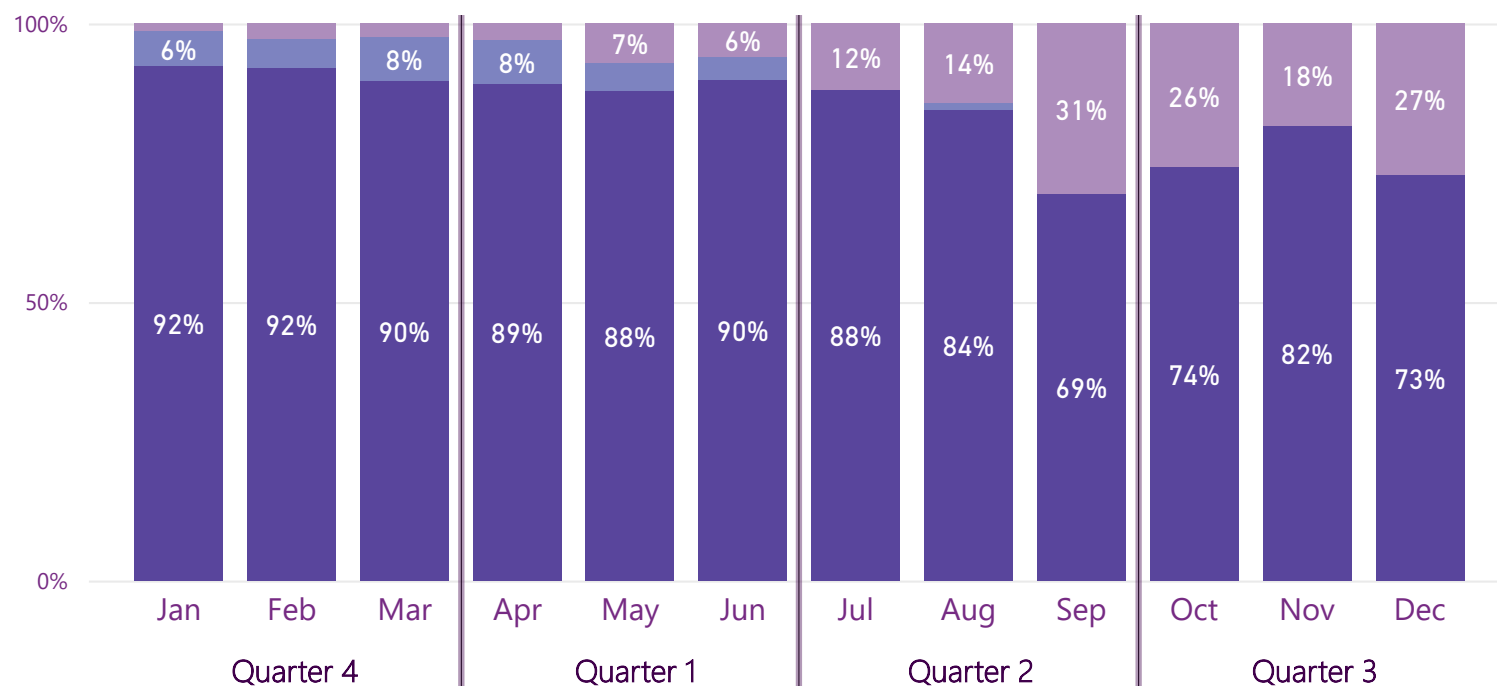
● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of Scope





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

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



## 12. Out of Scope categories

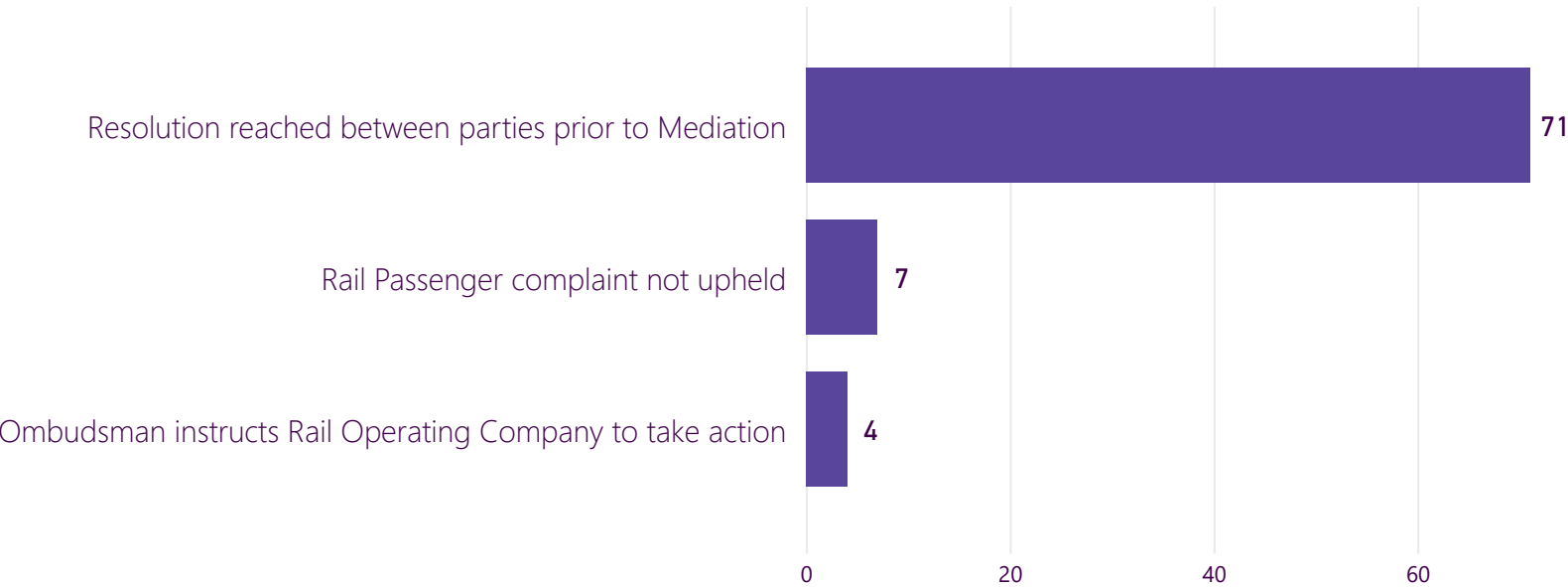
Reasons complaints referred to the Rail Ombudsman were assessed to be Out of Scope.

| Out of Scope category                     | Out of Scope (Ineligible) | Out of Scope (Transferred) | Total      |
|---|---------------------------|----------------------------|------------|
| No deadlock letter provided               | 76                        | 3                          | 79         |
| Policy issues                             | 2                         | 34                         | 36         |
| Penalty fare appeals                      | 1                         | 23                         | 24         |
| Action being taken by alternative channel | 16                        | 7                          | 23         |
| Residential or lineside issues            | 12                        | 0                          | 12         |
| Consumer withdrew                         | 8                         | 0                          | 8          |
| Already settled                           | 6                         | 0                          | 6          |
| Criminal claims                           | 4                         | 0                          | 4          |
| Personal injury claim                     | 3                         | 0                          | 3          |
| Planned service alterations/closures      | 0                         | 3                          | 3          |
| Incident date prior to Ombudsman launch   | 0                         | 2                          | 2          |
| Parking charge notices                    | 1                         | 0                          | 1          |
| <b>Total</b>                              | <b>129</b>                | <b>72</b>                  | <b>201</b> |



13. Simple Resolution case outcomes

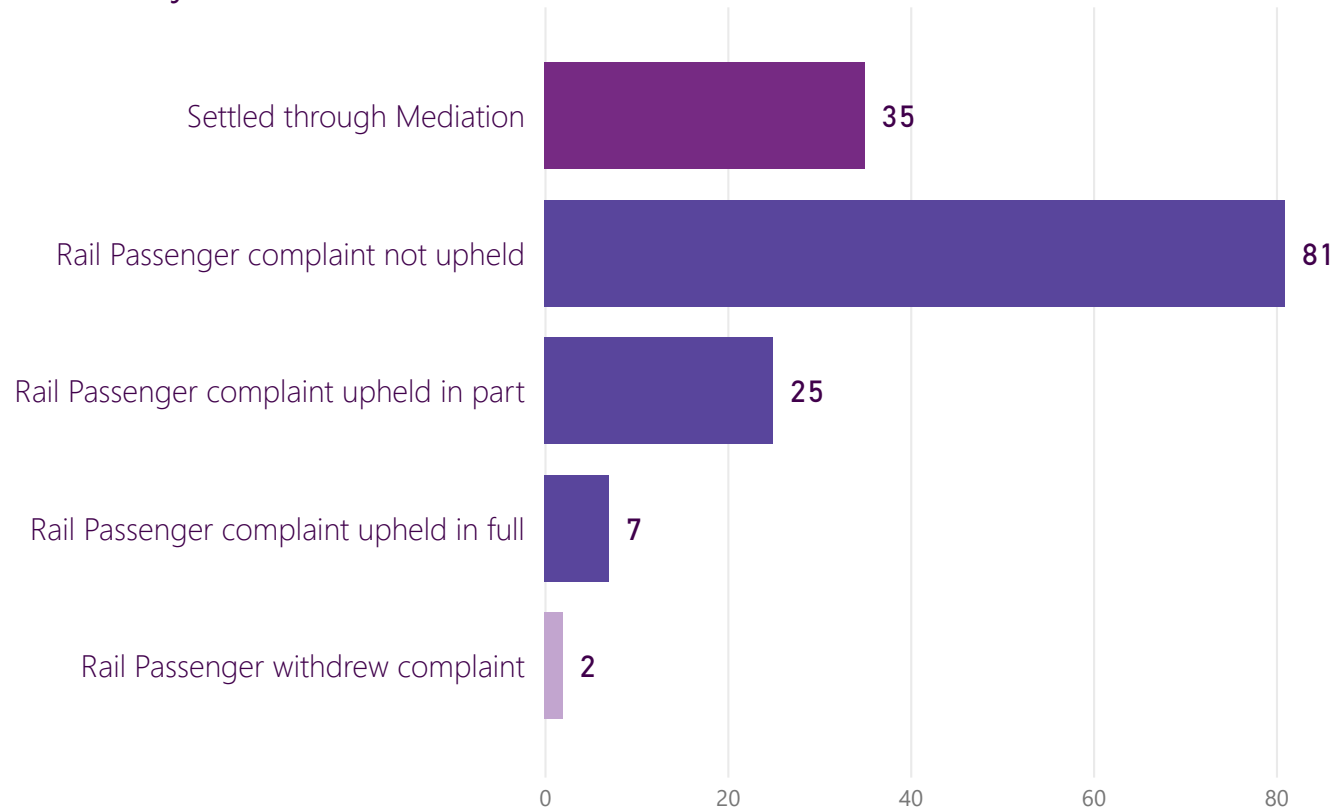
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

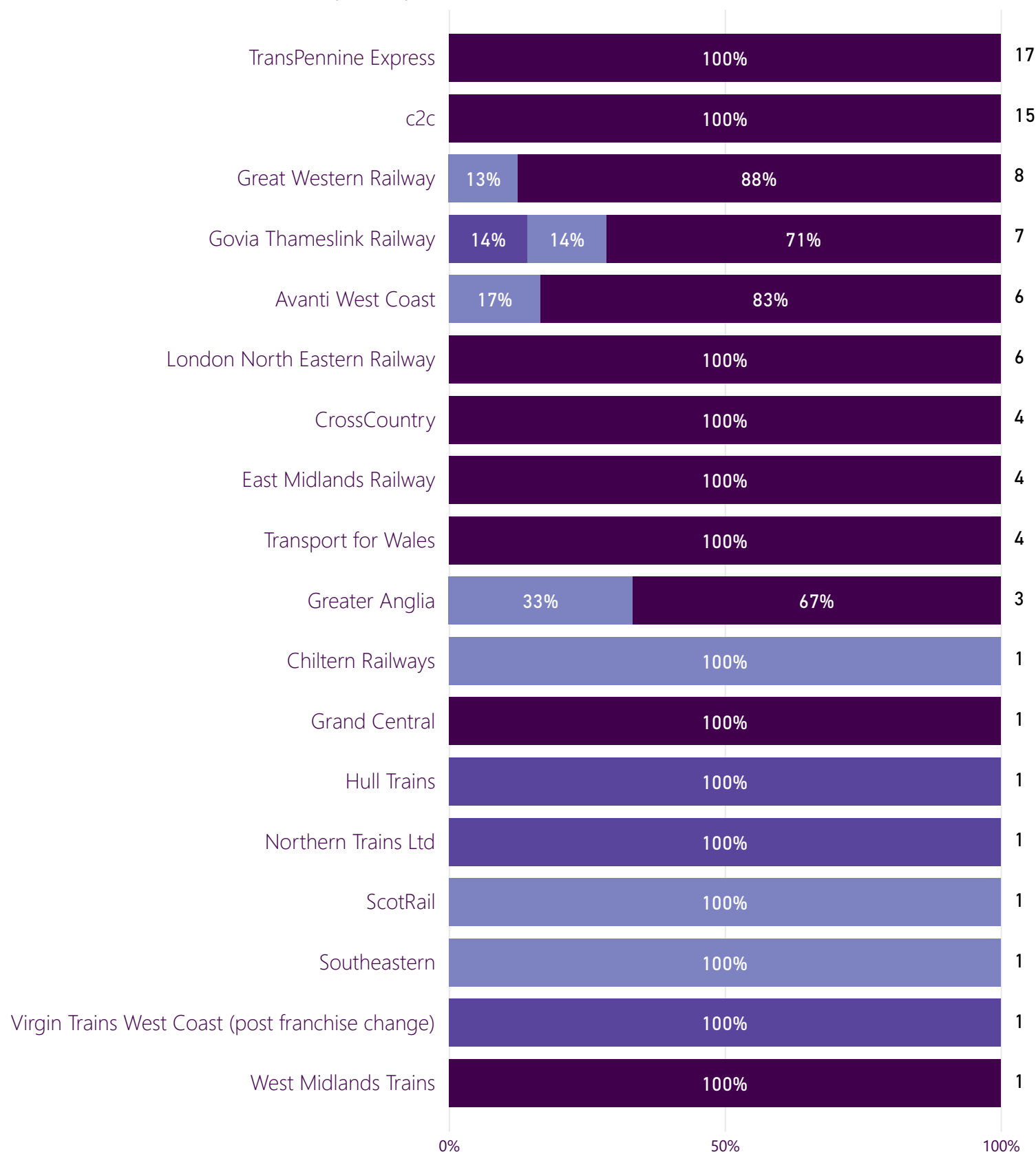
● Mediation ● Adjudication ● Withdrawn

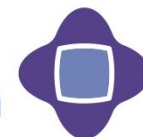


## 15. Simple Resolution case outcomes, by Participating Rail Operating Company

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

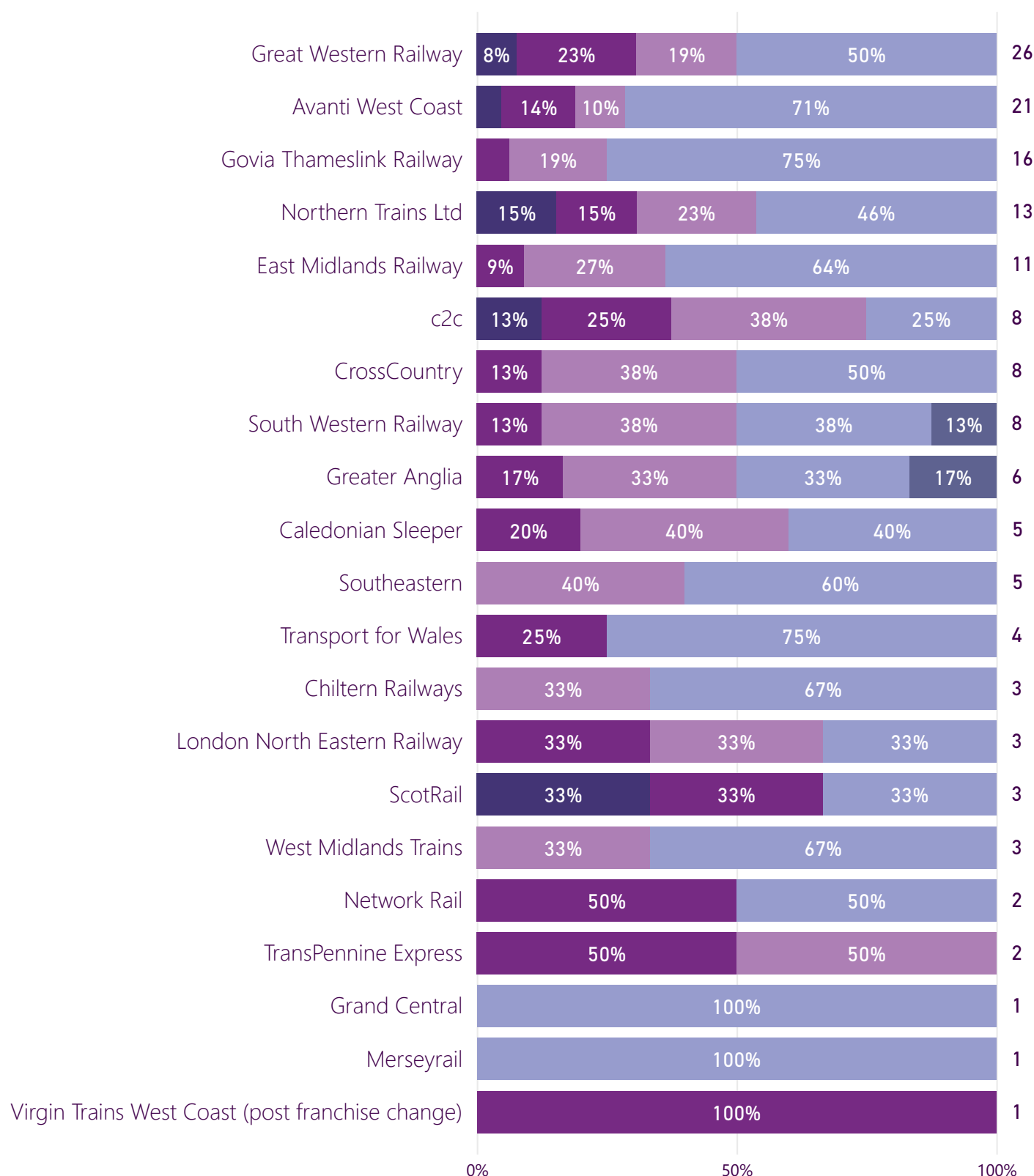




## 16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

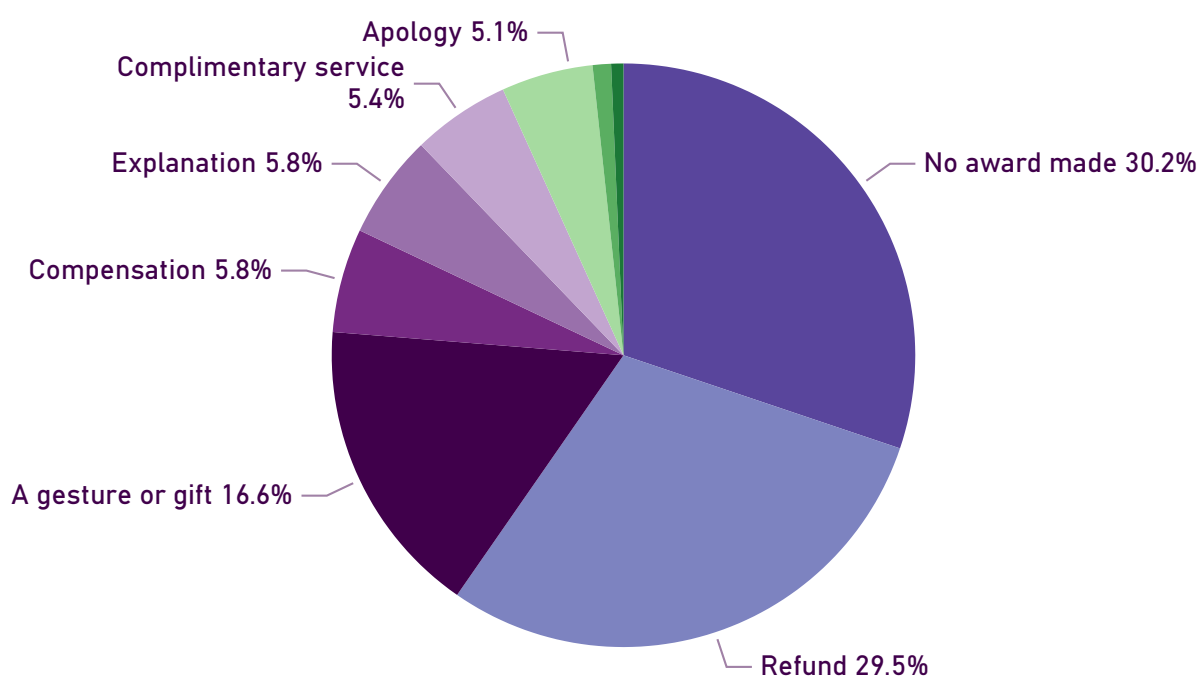




## 17. Resolution types and volume

| Award type            | No. of awards |
|-----------------------|---------------|
| A gesture or gift     | 49            |
| Apology               | 15            |
| Compensation          | 17            |
| Complimentary service | 16            |
| Explanation           | 17            |
| No award made         | 89            |
| Prescribed refund *   | 3             |
| Refund                | 87            |
| Ticket reissue        | 2             |
| <b>Total</b>          | <b>295</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  
**£273**

Largest financial award  
made \*  
**£6,323**

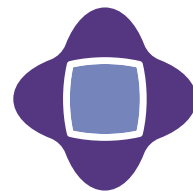
\* Award represents a refund of season ticket

## 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      |
|--------------------------------|-------------------|-----------|--------------|-----------------------|-------------|---------------|---------------------|-----------|----------------|------------|
| Great Western Railway          | 5                 |           | 2            | 2                     | 2           | 14            |                     | 10        |                | 35         |
| TransPennine Express           | 11                | 5         | 1            |                       | 3           |               | 1                   | 14        |                | 35         |
| Avanti West Coast              | 6                 | 1         | 4            | 1                     | 1           | 15            |                     | 5         |                | 33         |
| c2c                            | 3                 | 3         | 3            |                       | 2           | 1             | 1                   | 17        |                | 30         |
| Govia Thameslink Railway       | 3                 | 1         | 1            | 1                     | 3           | 11            |                     | 7         |                | 27         |
| Northern Trains Ltd            | 2                 |           | 1            | 5                     |             | 6             |                     | 4         |                | 18         |
| East Midlands Railway          | 1                 | 1         |              | 1                     | 1           | 7             | 1                   | 5         |                | 17         |
| London North Eastern Railway   | 5                 | 2         | 1            | 1                     | 1           | 1             |                     | 5         | 1              | 17         |
| Cross Country                  | 2                 | 2         |              | 1                     |             | 4             |                     | 5         |                | 14         |
| Greater Anglia                 | 2                 |           |              | 1                     | 1           | 4             |                     | 4         |                | 12         |
| Transport for Wales            | 1                 |           | 2            |                       | 1           | 3             |                     | 4         |                | 11         |
| South Western                  | 2                 |           |              | 1                     |             | 4             |                     | 3         |                | 10         |
| West Midlands Trains           | 2                 |           |              | 1                     | 1           | 2             |                     | 1         |                | 7          |
| Southeastern                   |                   |           |              |                       | 1           | 5             |                     |           |                | 6          |
| Caledonian Sleeper Train       | 2                 |           |              |                       |             | 2             |                     | 1         |                | 5          |
| Chiltern Railways              |                   |           |              | 1                     |             | 3             |                     |           |                | 4          |
| ScotRail                       | 1                 |           | 1            |                       |             | 2             |                     |           |                | 4          |
| Grand Central                  |                   |           |              |                       |             | 1             |                     | 1         | 1              | 3          |
| Virgin Trains (after transfer) | 1                 |           |              |                       |             | 1             |                     | 1         |                | 3          |
| Network Rail                   |                   |           | 1            |                       |             | 1             |                     |           |                | 2          |
| Hull Trains                    |                   |           |              |                       |             | 1             |                     |           |                | 1          |
| Merseyrail                     |                   |           |              |                       |             | 1             |                     |           |                | 1          |
| <b>Total</b>                   | <b>49</b>         | <b>15</b> | <b>17</b>    | <b>16</b>             | <b>17</b>   | <b>89</b>     | <b>3</b>            | <b>87</b> | <b>2</b>       | <b>295</b> |

\* paid in accordance with the delay repay procedure

# The Rail Ombudsman



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

Dates: 01/10/20 - 31/12/20