

Quarterly Statistical Report

Q4

Dates: 01/01/20 - 31/03/20



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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 4 include complaints raised in the previous quarter.



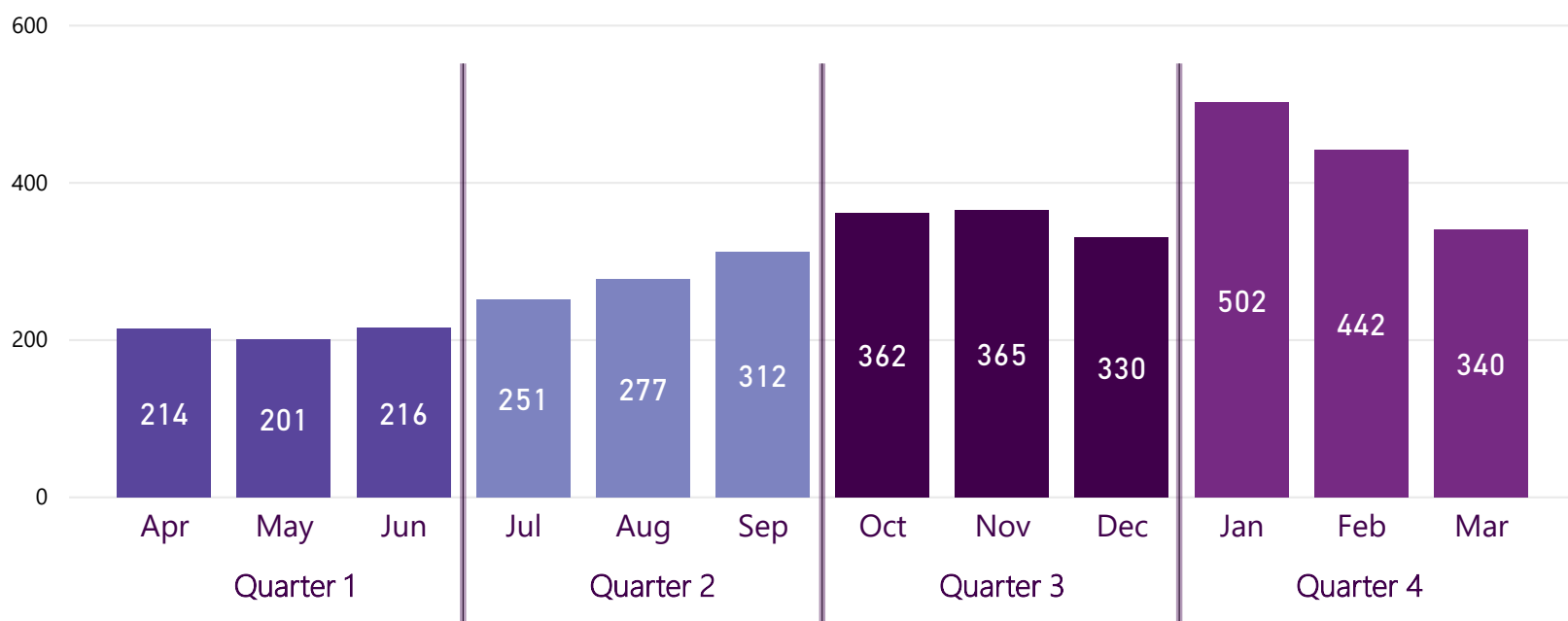
Quarter 4: Key Facts

Quarter 4 vs Quarter 3

New cases referred to the Rail Ombudsman	1284	+21%
Cases evaluated by the Rail Ombudsman	1343	+35%
% Cases found to be In Scope for the scheme	60%	-2% pts
% Eligible cases referred to consumer advocacy bodies	9%	-2% pts
% Cases found to be Out of Scope: Ineligible	34%	+3% pts
Average financial award (where financial award secured)	£86	-5%

Delay compensation and complaint handling were the most common complaint categories with these alone accounting for 42% 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 4: 1284

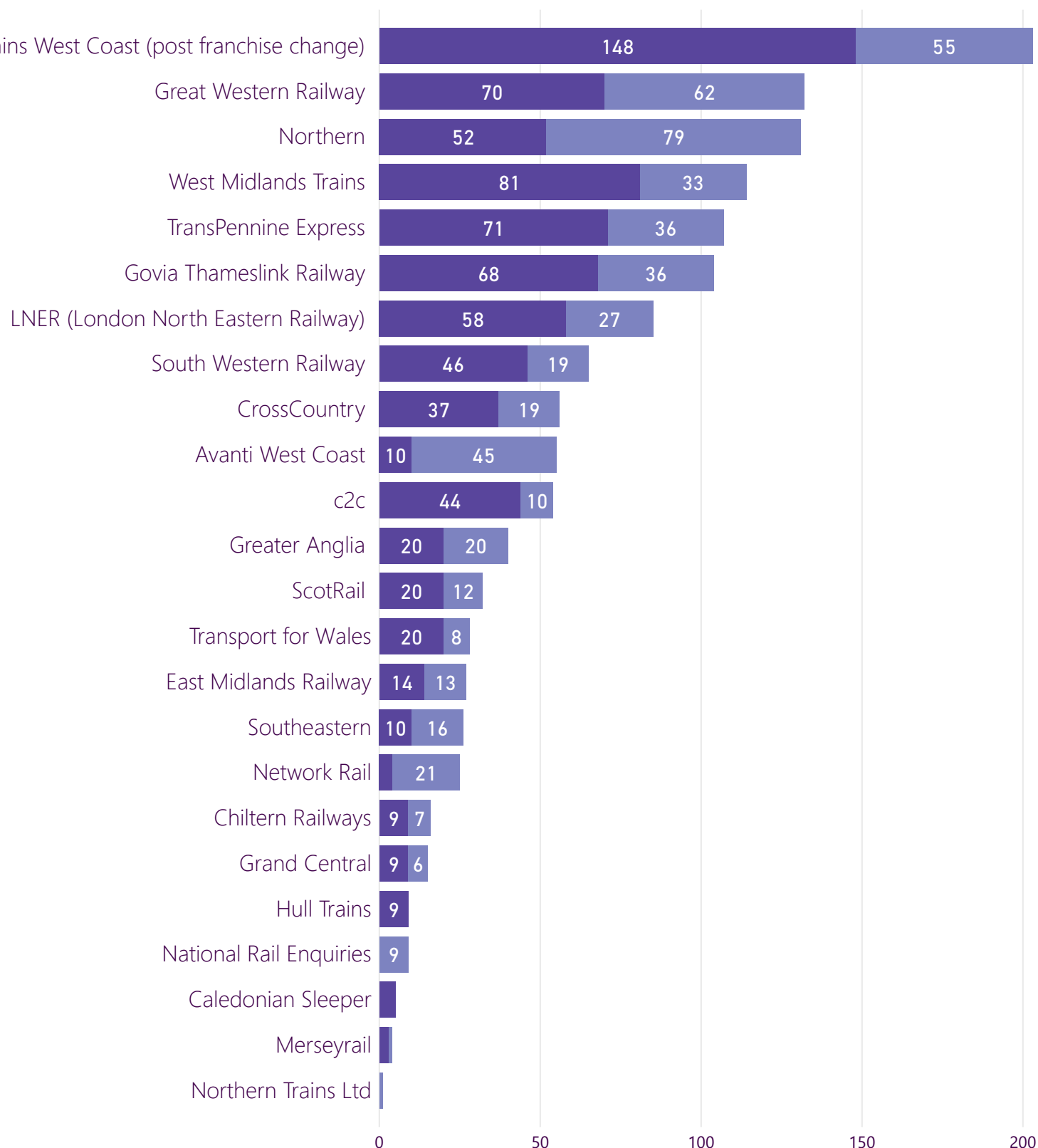
The above chart covers complaints referred to the Rail Ombudsman during Quarter 4 and includes both In Scope and Out of Scope complaints. Note: Outcomes of some of these will carry forward into the next Quarter.



2. Complaint volume by Participating Rail Operating Company

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

● In Scope ● Out of Scope

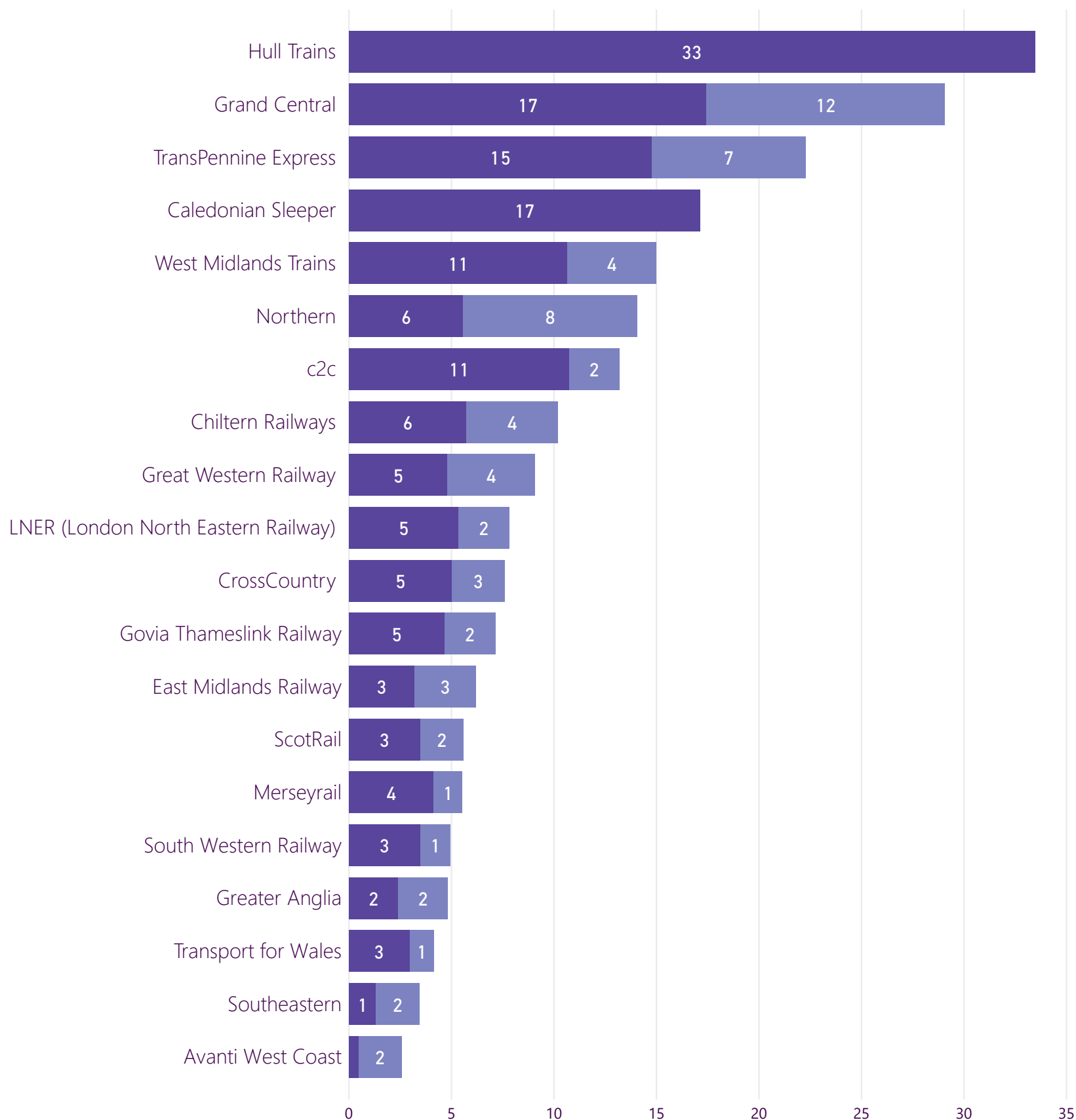




3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

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

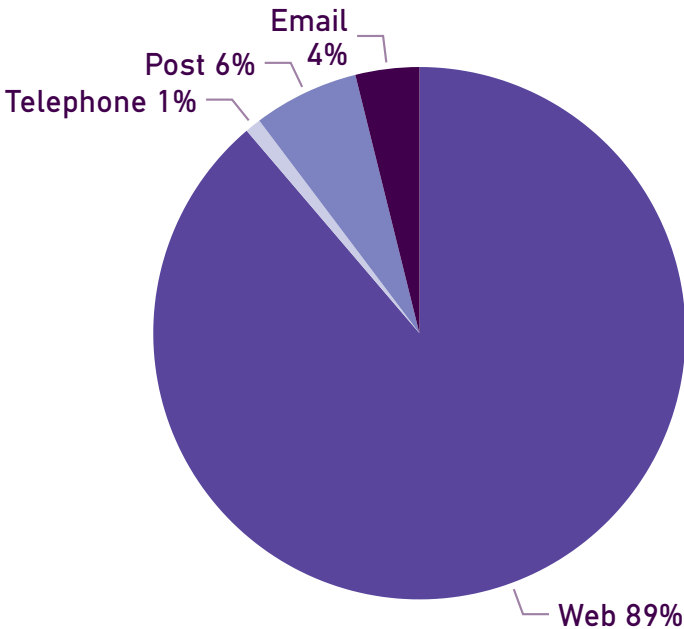
● In Scope ● Out of Scope



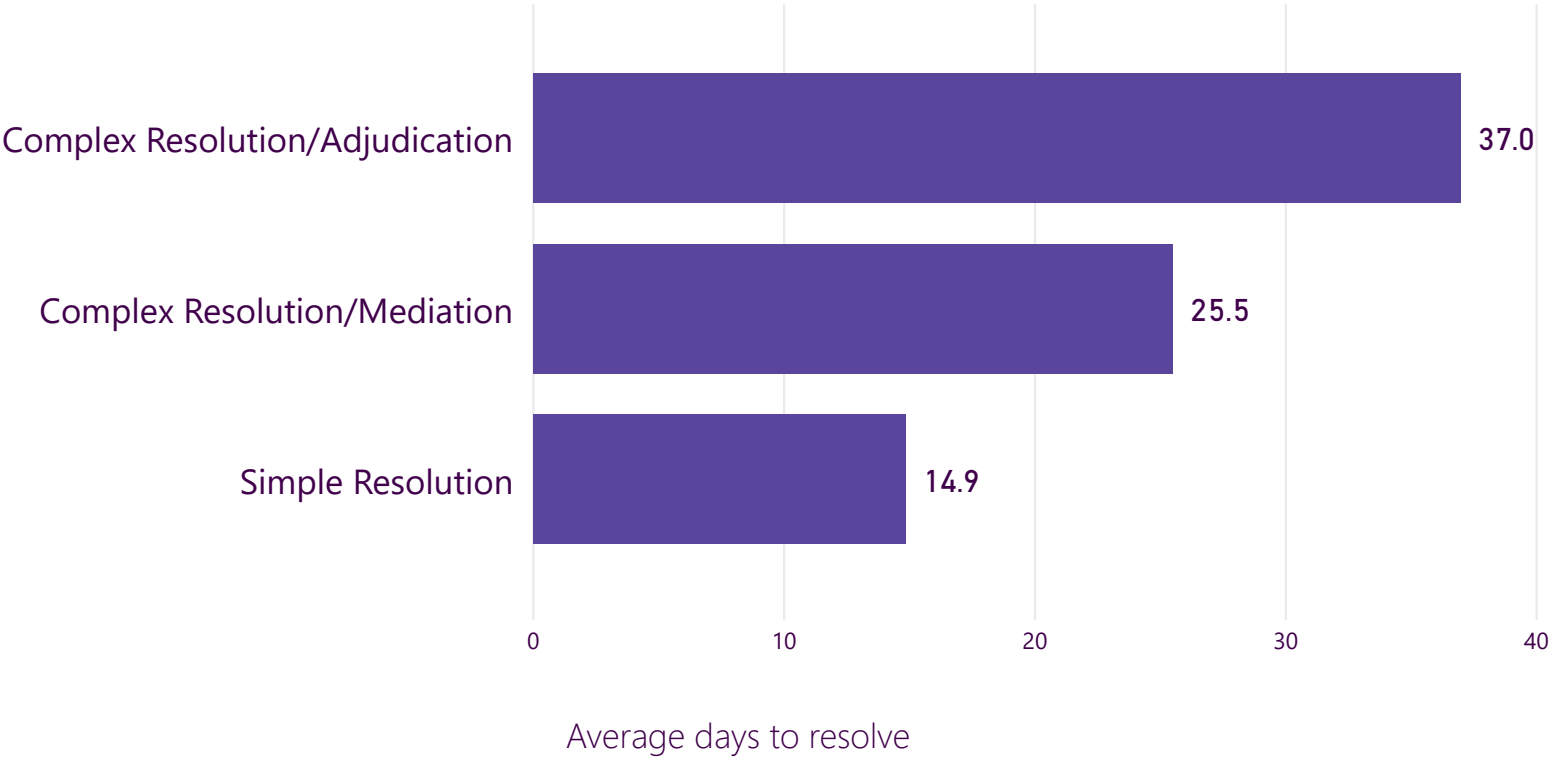
4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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	1192
Post	86
Email	52
Telephone	13
Total	1343



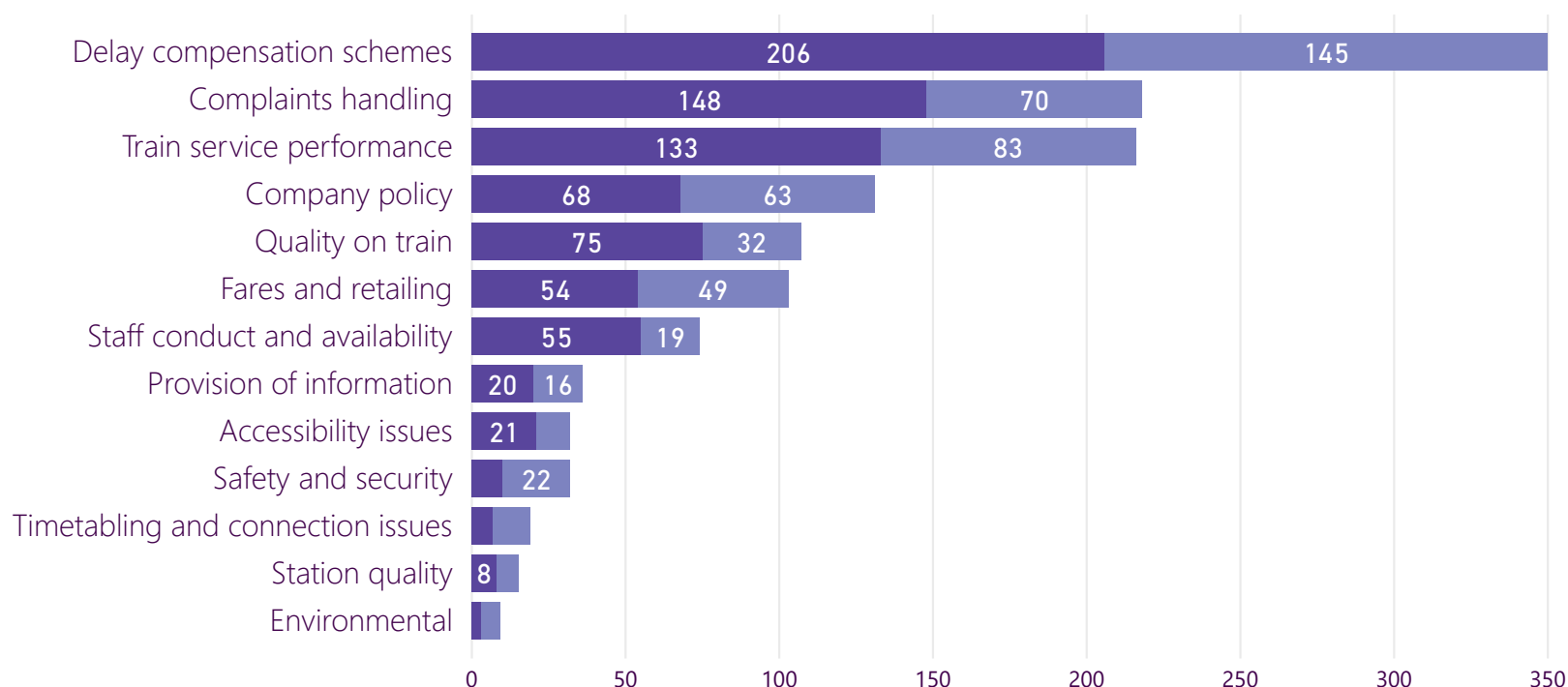
5. Average time to close In Scope complaints in working days





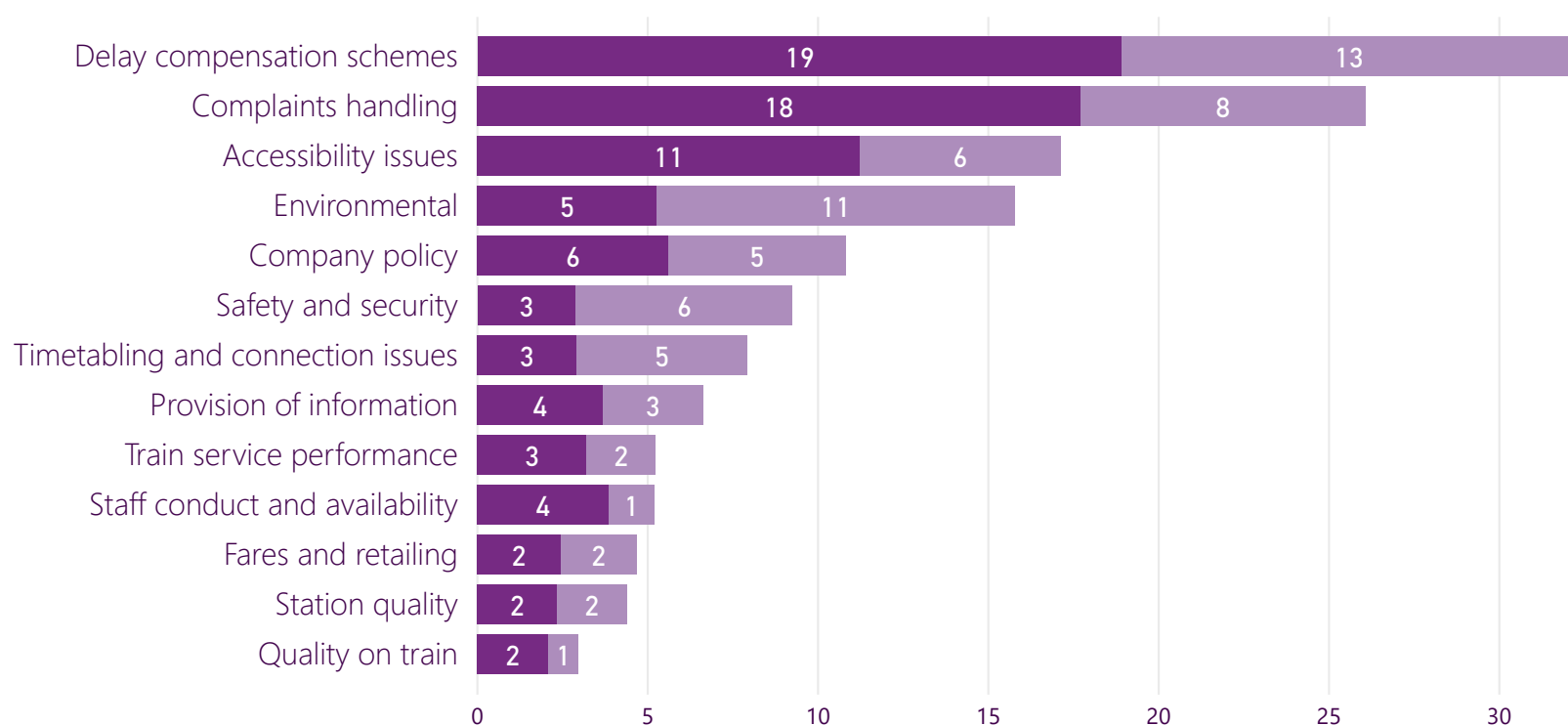
6. Complaints assessed by the Rail Ombudsman, by top level complaint category

● 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	Assistance staff	4
Accessibility issues	Booked assistance not provided at station	6
Accessibility issues	Disabled parking	1
Accessibility issues	Disabled toilets at station/on train	3
Accessibility issues	Lack of disabled facilities at station/on train	3
Accessibility issues	Lack of information	1
Accessibility issues	Other	7
Accessibility issues	The ease of being able to get on and off	3
Accessibility issues	Unbooked assistance not provided at station	2
Accessibility issues	Wheelchair space on train	2
Company policy	Onboard policy	4
Company policy	Other	10
Company policy	Ticketing and refunds policy	117
Complaints handling	Complaint not received	2
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	113
Complaints handling	No response from Participating Rail Operating Company	46
Complaints handling	Other	9
Complaints handling	Response time	12
Complaints handling	Staff member was impolite/unhelpful	1
Complaints handling	Unhappy at type/level of compensation	35
Delay compensation schemes	Awareness/promotion of schemes	3
Delay compensation schemes	Compensation claim rejected	145
Delay compensation schemes	Compensation claims process	60
Delay compensation schemes	Level of compensation	50
Delay compensation schemes	Other	22
Delay compensation schemes	Participating Rail Operating Company processing error	11
Delay compensation schemes	Speed of response	60
Environmental	General appearance of station	1
Environmental	Noise pollution	2
Environmental	Other	5
Environmental	Overgrown vegetation	1
Fares and retailing	Other	40
Fares and retailing	Smartcards	11
Fares and retailing	Ticket buying facilities	25
Fares and retailing	Value for money of ticket price	27

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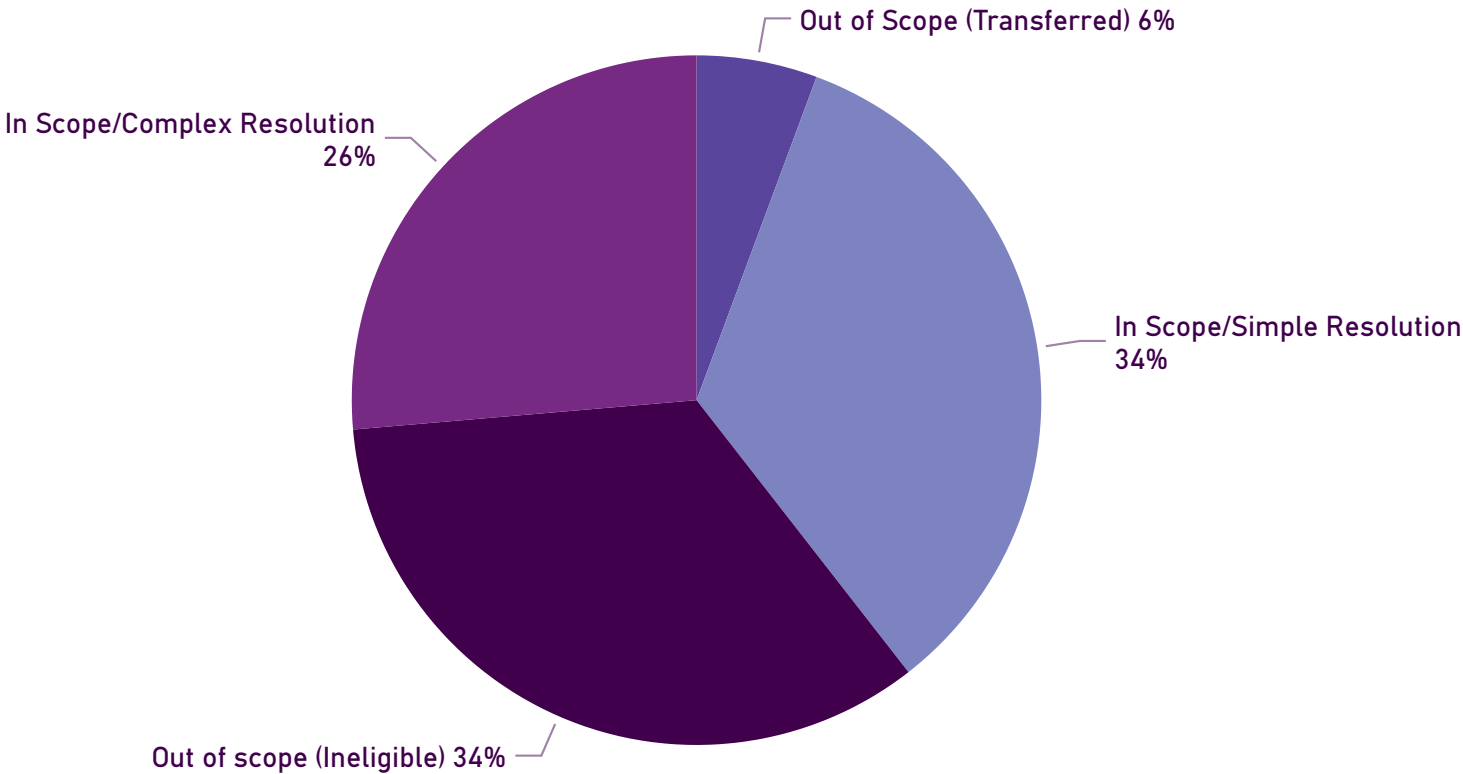
Top level category	Second level category	Vol. of complaints
Provision of information	Other	7
Provision of information	Provision of information about train times/platforms	13
Provision of information	Provision of information on website or mobile apps	6
Provision of information	The provision of information during the journey	10
Quality on train	Cleanliness of train	7
Quality on train	Facilities onboard	30
Quality on train	Other	9
Quality on train	Sufficient room for all passengers to sit/stand	45
Quality on train	The comfort of the seating area	1
Quality on train	The space for luggage	1
Quality on train	The toilet facilities	12
Quality on train	Upkeep and repair of the train	2
Safety and security	Other	7
Safety and security	Personal security onboard	13
Safety and security	Personal security whilst using station	12
Staff conduct and availability	How request to station staff was handled	10
Staff conduct and availability	Other	8
Staff conduct and availability	The attitudes and helpfulness of the staff at station	29
Staff conduct and availability	The availability of staff - at station	1
Staff conduct and availability	The availability of staff - onboard	1
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	20
Station quality	Facilities for car parking	2
Station quality	Other	3
Station quality	The facilities and services	7
Station quality	The upkeep/repair of the station buildings/platforms	3
Timetabling and connection issues	Connections with other forms of public transport	1
Timetabling and connection issues	Connections with other train services	3
Timetabling and connection issues	Other	1
Timetabling and connection issues	Routing	2
Timetabling and connection issues	The frequency of the trains on that route	1
Timetabling and connection issues	The length of time the journey was scheduled to take (speed)	2
Timetabling and connection issues	Timetabling	9
Train service performance	Other	17
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	199

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
Out of Scope (Transferred)	76
Out of scope (Ineligible)	459
In Scope/Simple Resolution	454
In Scope/Complex Resolution	354
Total	1343

Of the 1343 complaints assessed in Quarter 4, 60% (808 complaints) were In Scope, 34% (459) were deemed to be Out of Scope and Ineligible for the scheme (70% of which were due to no deadlock letter provided). 6% (76) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.



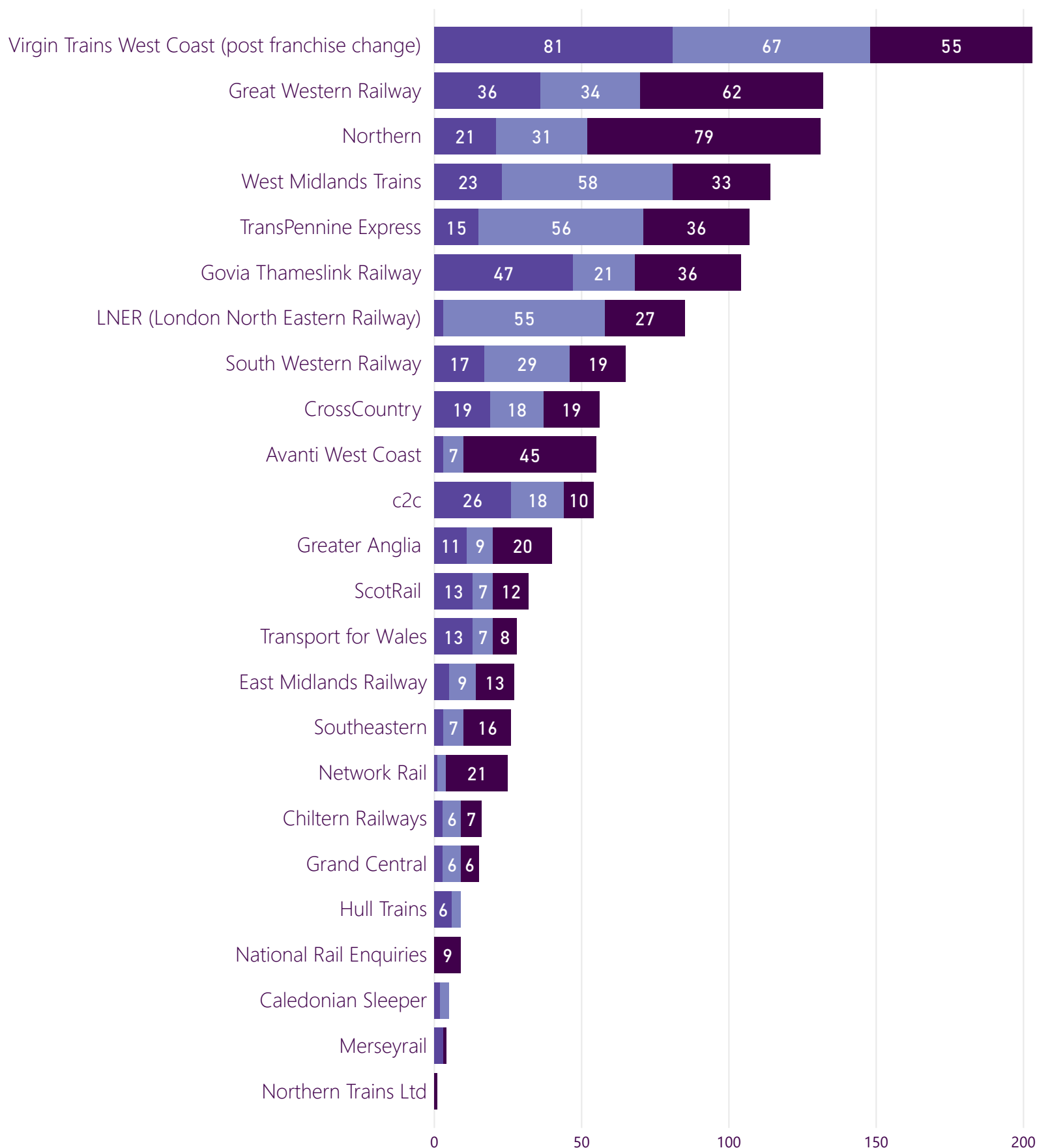
Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.



10. Complaint classifications by Participating Rail Operating Company

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

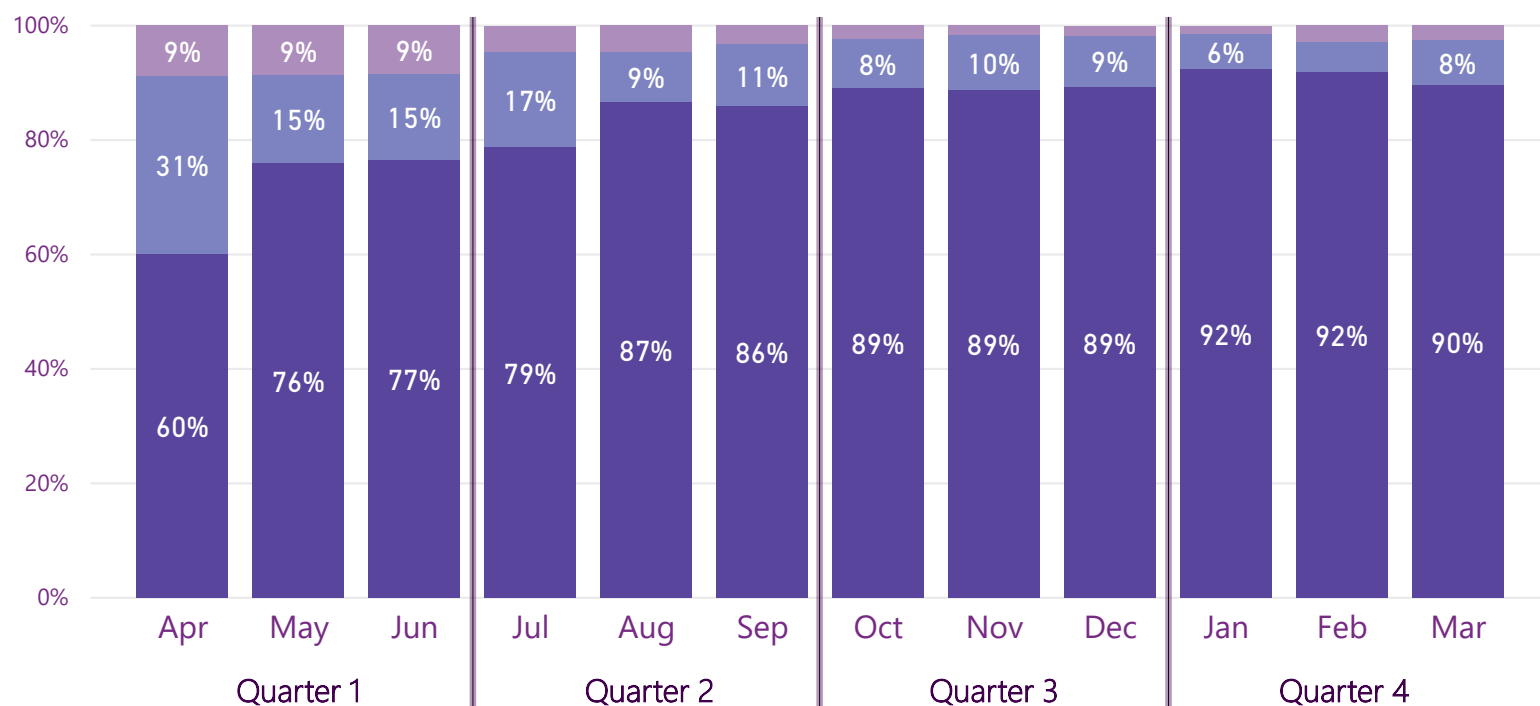
● In Scope/Complex Resolution ● In Scope/Simple Resolution ● Out of Scope





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

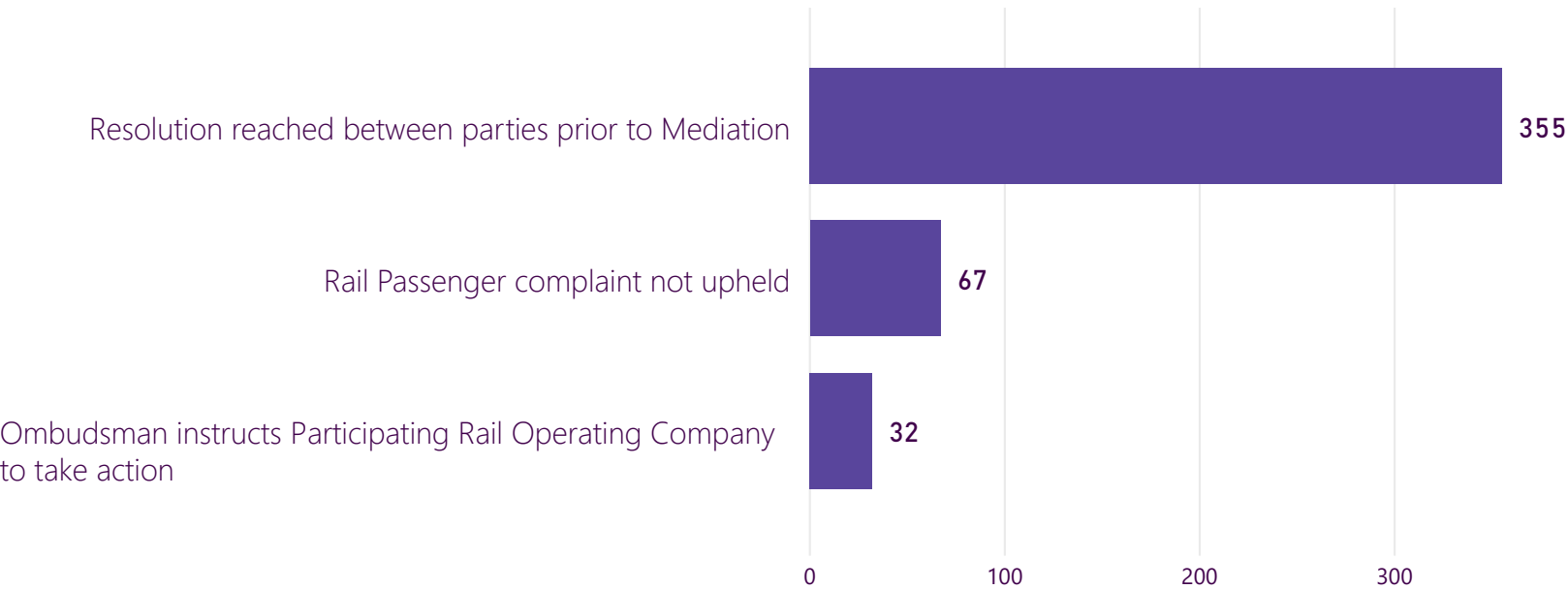
Reasons complaints referred to the Rail Ombudsman were assessed to be Out of Scope.

Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
No deadlock letter provided	321	2	323
Action being taken by alternative channel	56	7	63
Policy issues	4	33	37
Already settled	34		34
Penalty fare appeals	2	22	24
Personal injury claim	14		14
Consumer withdrew	9	1	10
Residential or lineside issues	7	3	10
Planned service alterations/closures	2	4	6
Criminal claims	5		5
Incident date prior to Ombudsman launch	1	3	4
Business to business	1		1
Human Resources	1		1
Parking ticket pricing		1	1
Planned Improvements	1		1
Strikes	1		1
Total	459	76	535



13. Simple Resolution case outcomes

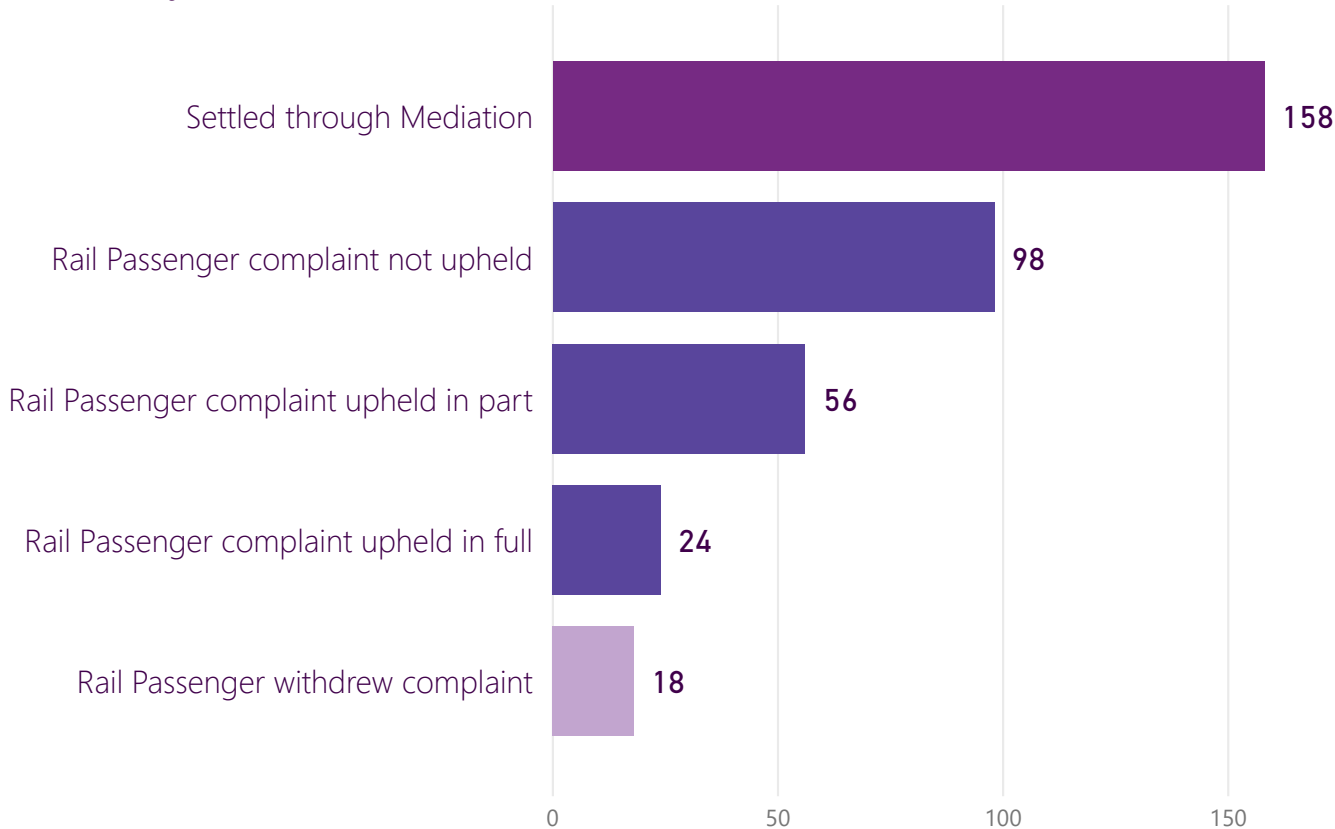
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

● Mediation ● Adjudication ● Withdrawn

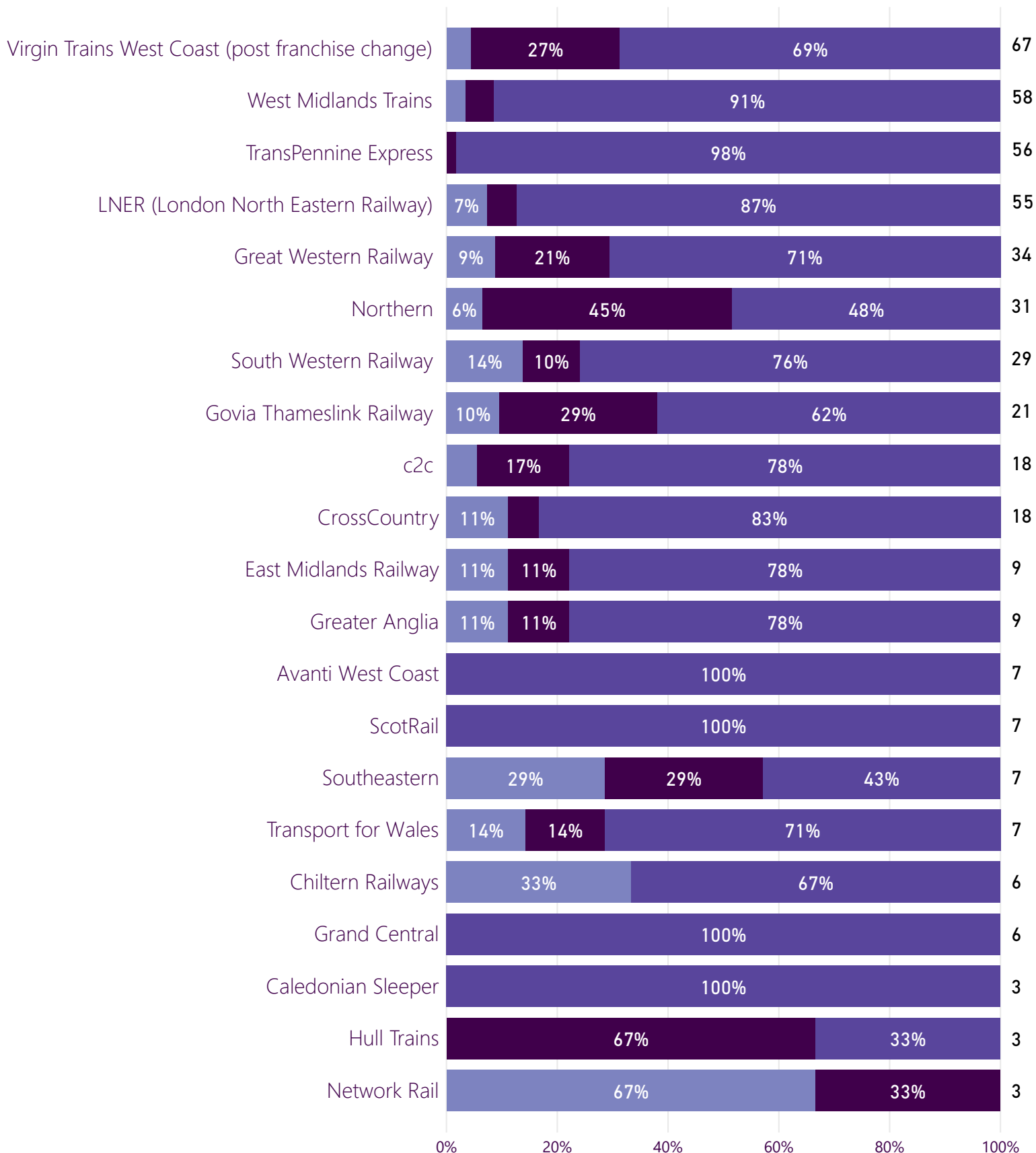




15. Simple Resolution case outcomes, by Participating Rail Operating Company

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

- Ombudsman instructs Participating Rail Operating Company to take action
- Rail Passenger complaint not upheld
- Resolution reached between parties prior to Mediation

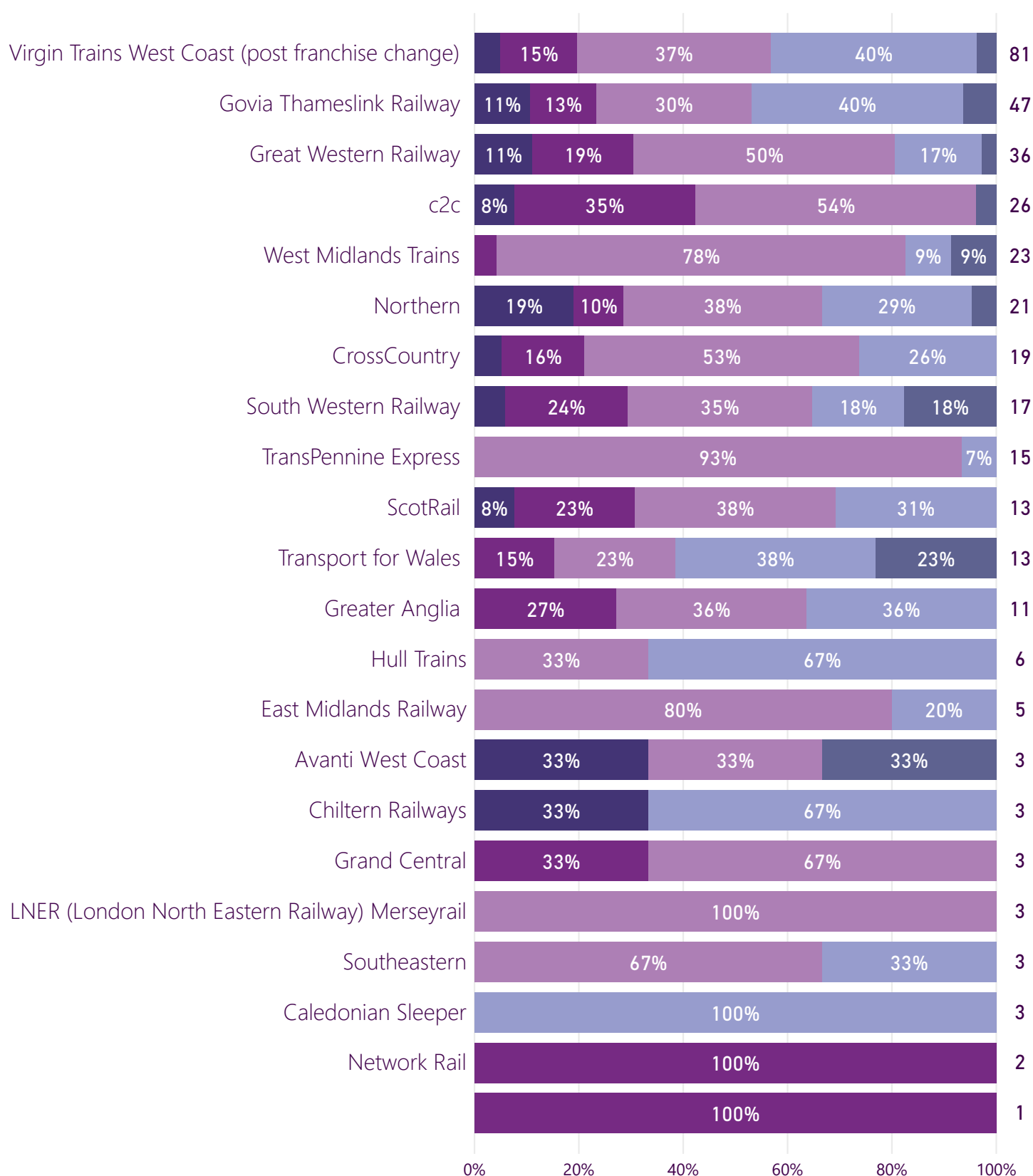




16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

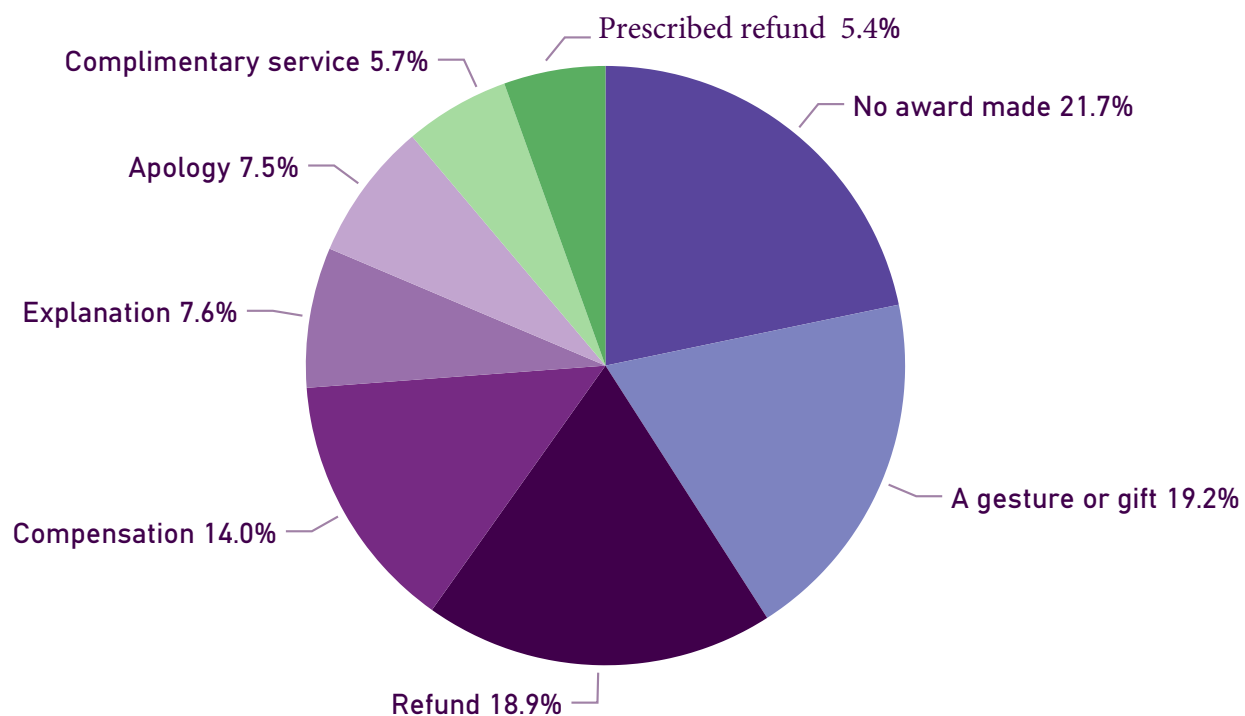




17. Resolution types and volume

Award type	No. of awards
A gesture or gift	203
Apology	79
Compensation	148
Complimentary service	60
Explanation	80
No award made	230
Prescribed refund *	58
Refund	200
Total	1058

* 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
£86

Largest financial award
made
£1381

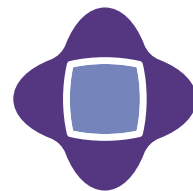


18. Resolution types and volume by Participating Rail Operating Company

Participating Rail Operating Company	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Total
Virgin Trains (after transfer)	35	4	23	5	14	63	10	22	176
LNER (London North Eastern Railway)	27	22	13	16	3	3	2	39	125
West Midland Trains	24	7	20	11	5	10	7	32	116
TransPennine Express	23	13	18	1	3	5	5	37	105
Great Western Railway	15	7	11	3	8	17	5	17	83
Govia Thameslink Railway	9	3	13	3	6	26	6	8	74
c2c	21	2	9	3	5	6	3	12	61
Northern	5	6	7	3	5	23	5	4	58
South Western	11	4	8	1	7	17	3	4	55
Cross Country	4	1	6	7	4	11	4	4	41
ScotRail	8	3	5	1	1	4	1	7	30
Greater Anglia	5	3	2		4	6		5	25
Transport for Wales	3	1	3		3	11		2	23
East Midland Railway	3		3		2	3	3	3	17
Avanti West Coast	4	1	3	1	2	1	3		15
Southeastern	1				2	7		1	11
Chiltern Railways	1		1		3	5			10
Grand Central	1			4		3	1	1	10
Hull Trains			1	1	1	5		1	9
Caledonian Sleeper Train			2		1	1		1	5
Network Rail	1	1			1	2			5
Merseyrail	2					1			3
Total	203	78	148	60	80	230	58	200	1057

* paid in accordance with the delay repay procedure

The Rail Ombudsman



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