

Quarterly Statistical Report

Q3

Dates: 01/10/21 - 31/12/21

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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/>

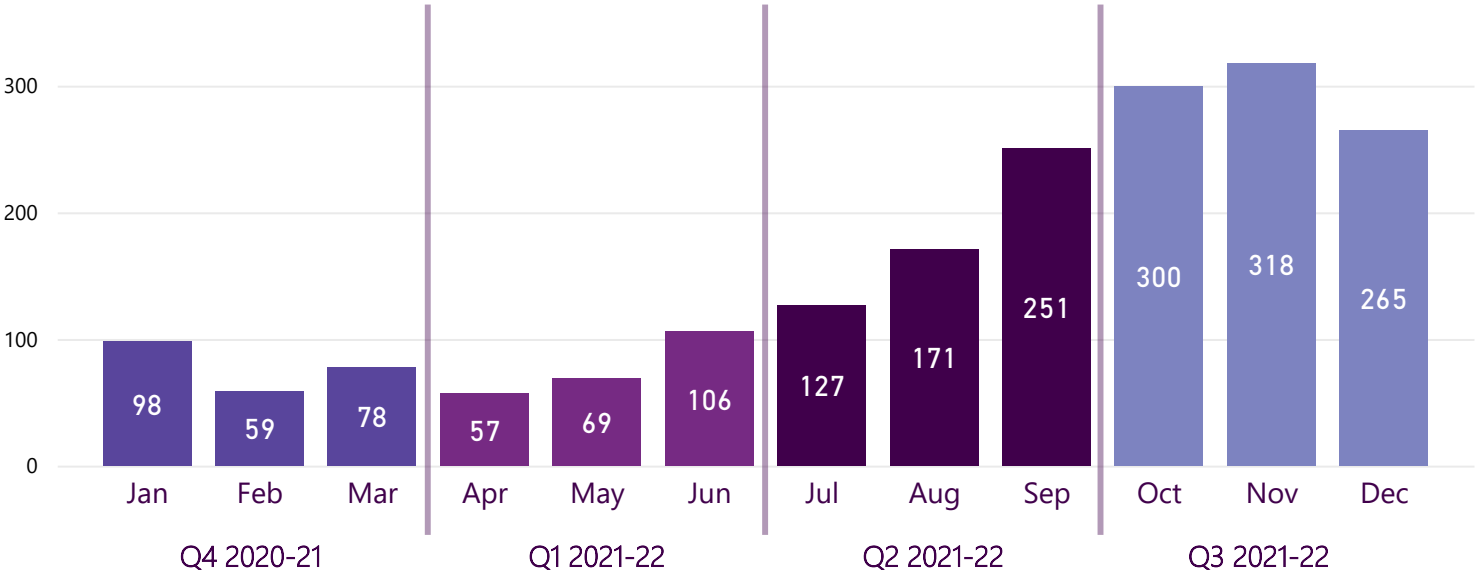
Complaints evaluated / closed by the Rail Ombudsman during Quarter 3 include complaints raised in the previous quarter.

Quarter 3: Key Facts

	Q3 2021-22	vs Q2 2021-22	vs Q3 2020-21
New cases referred to the Rail Ombudsman	883	+61%	+103%
Cases evaluated by the Rail Ombudsman	836	+103%	+94%
% Cases found to be In Scope for the scheme	58%	+14% pts	-9% pts
% Cases referred to consumer advocacy bodies	8%	-3% pts	-7% pts
% Cases found to be Out of Scope: Ineligible	34%	-10% pts	+4% pts
Average financial award (where financial award secured)	£80	+0%	-71%

'Delay compensation schemes' remains the largest complaint category accounting for 22% of complaints this quarter. 'Complaints handling' is in second place with 19% of complaints and 'Fares and Retailing' has replaced 'Company Policy' as the 3rd largest category with 11% of complaints this quarter.

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

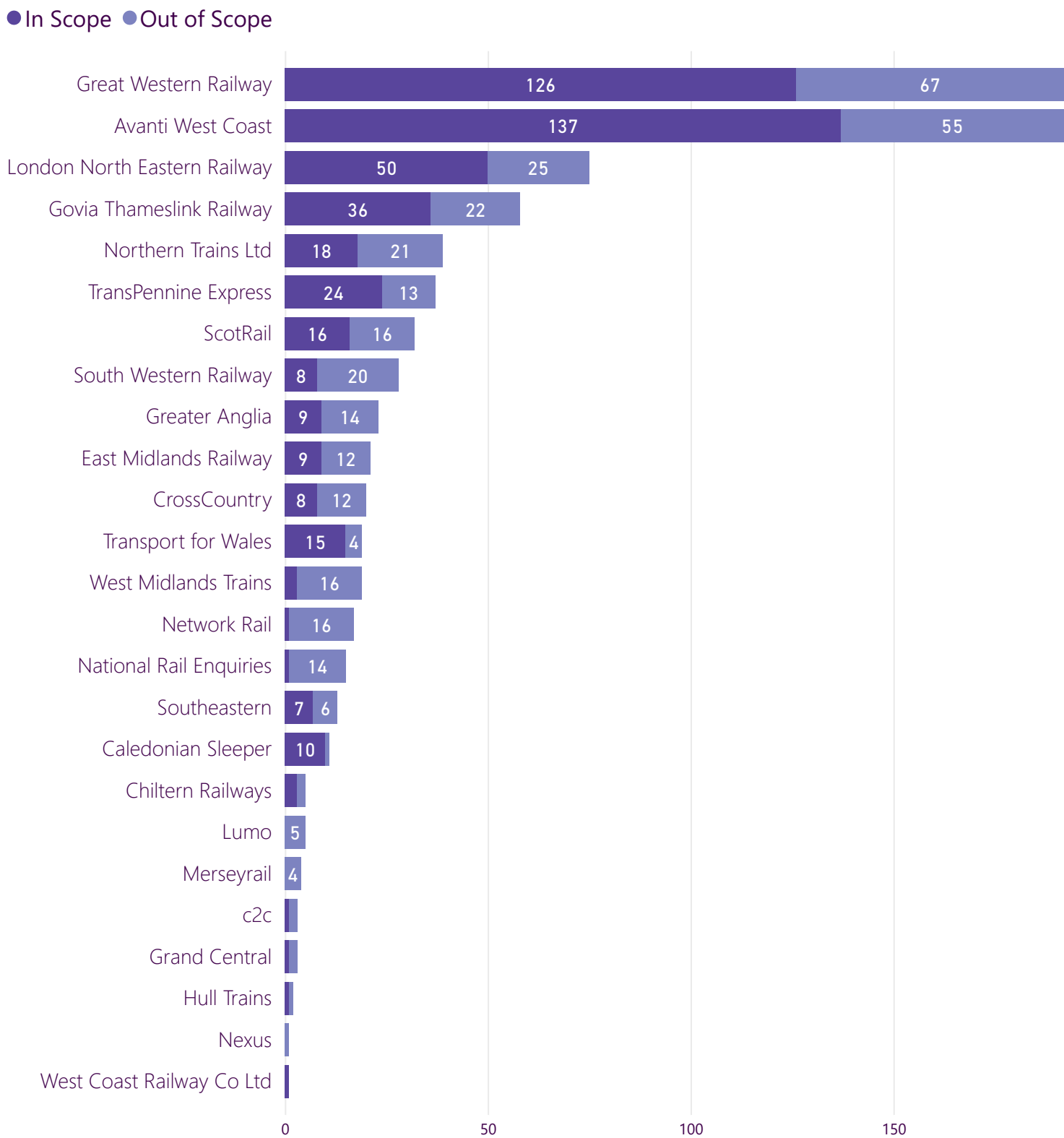


Total referred to the Rail Ombudsman in Quarter 3: 883

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

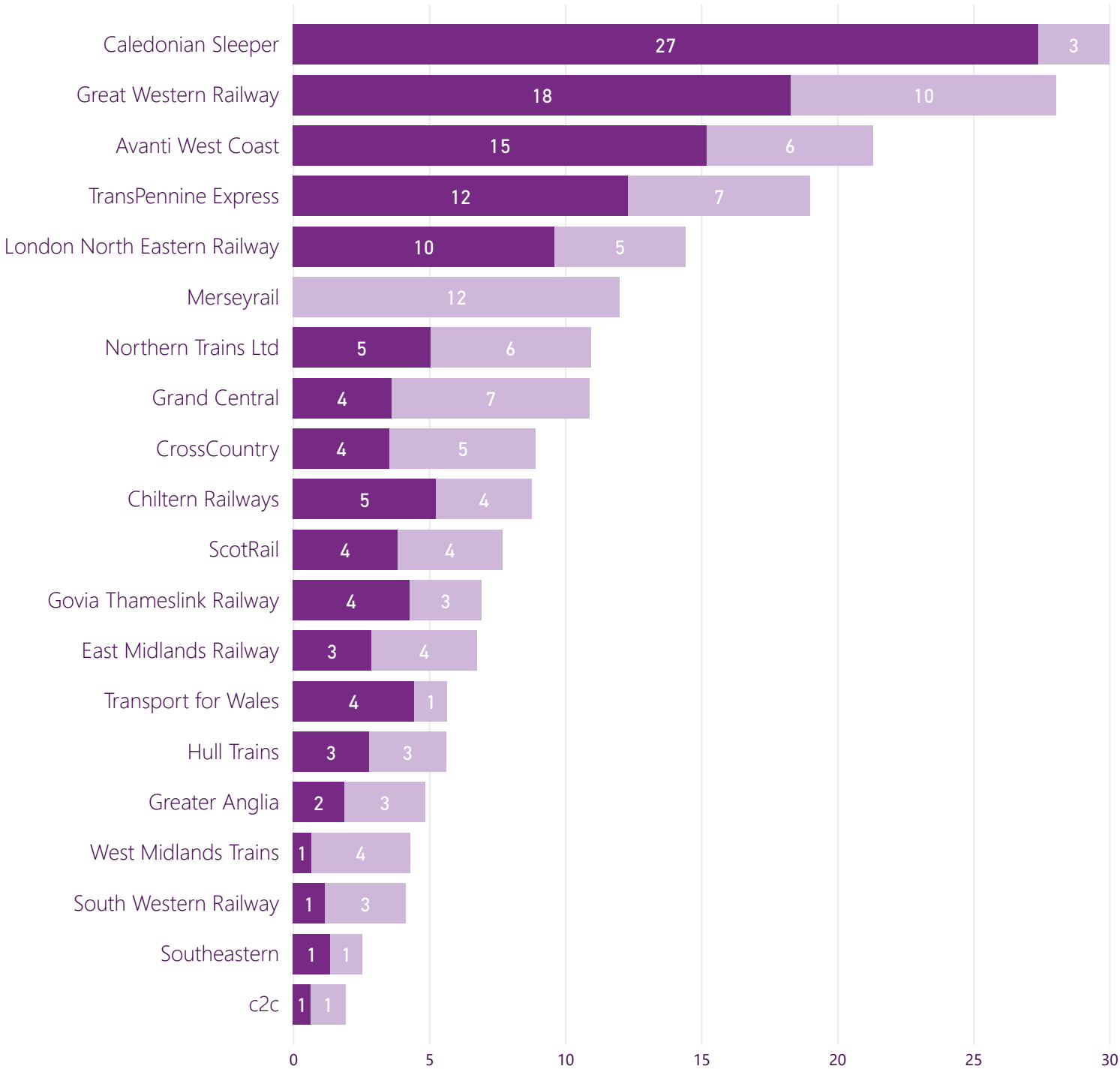
Volume of complaints assessed during Quarter 3 by Rail Operating Company.



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).

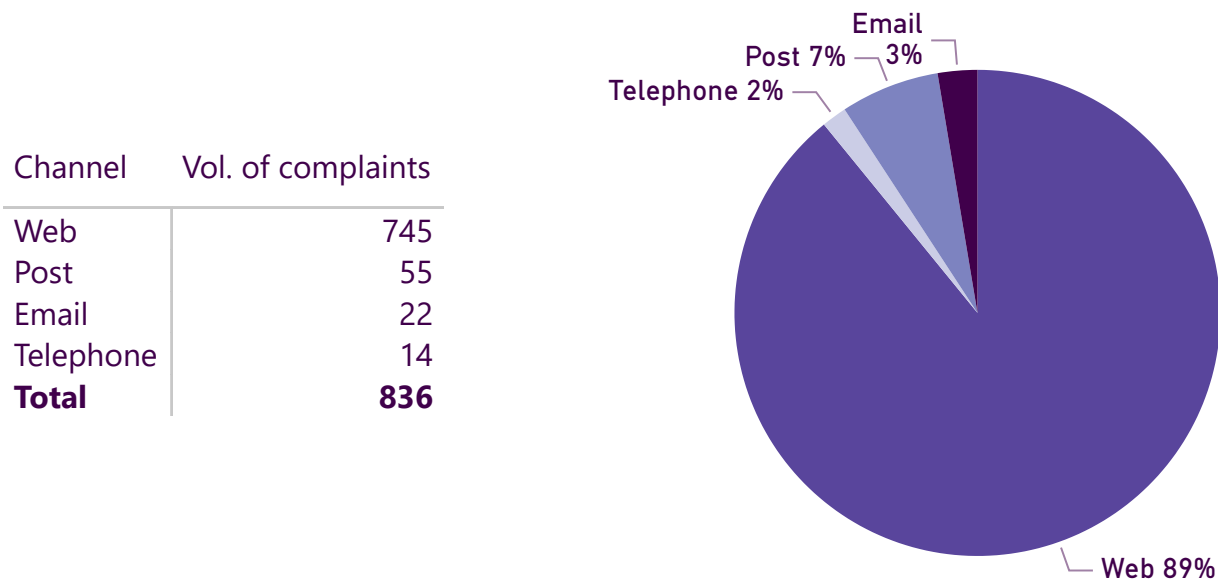
● In Scope ● Out of Scope



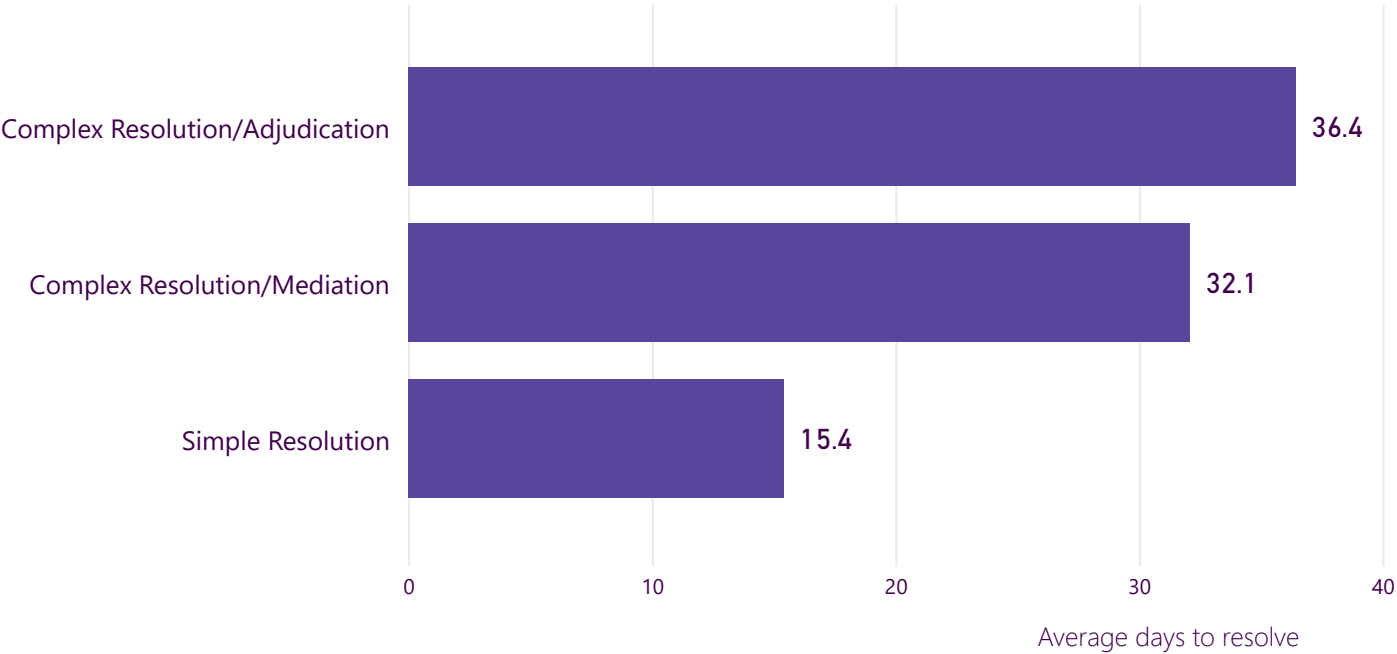
(Rail Operators' complaint volumes source: ORR)

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).



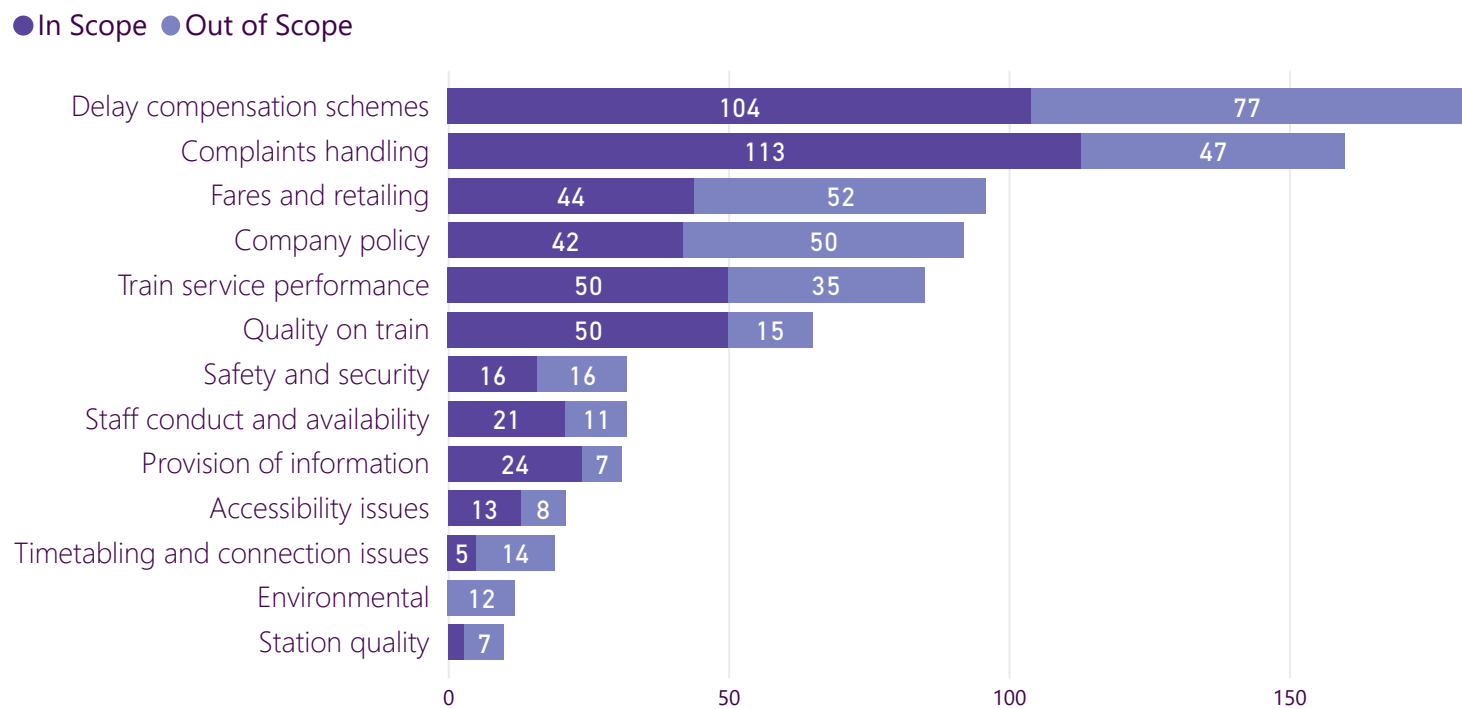
5. Average time to close In Scope complaints in working days



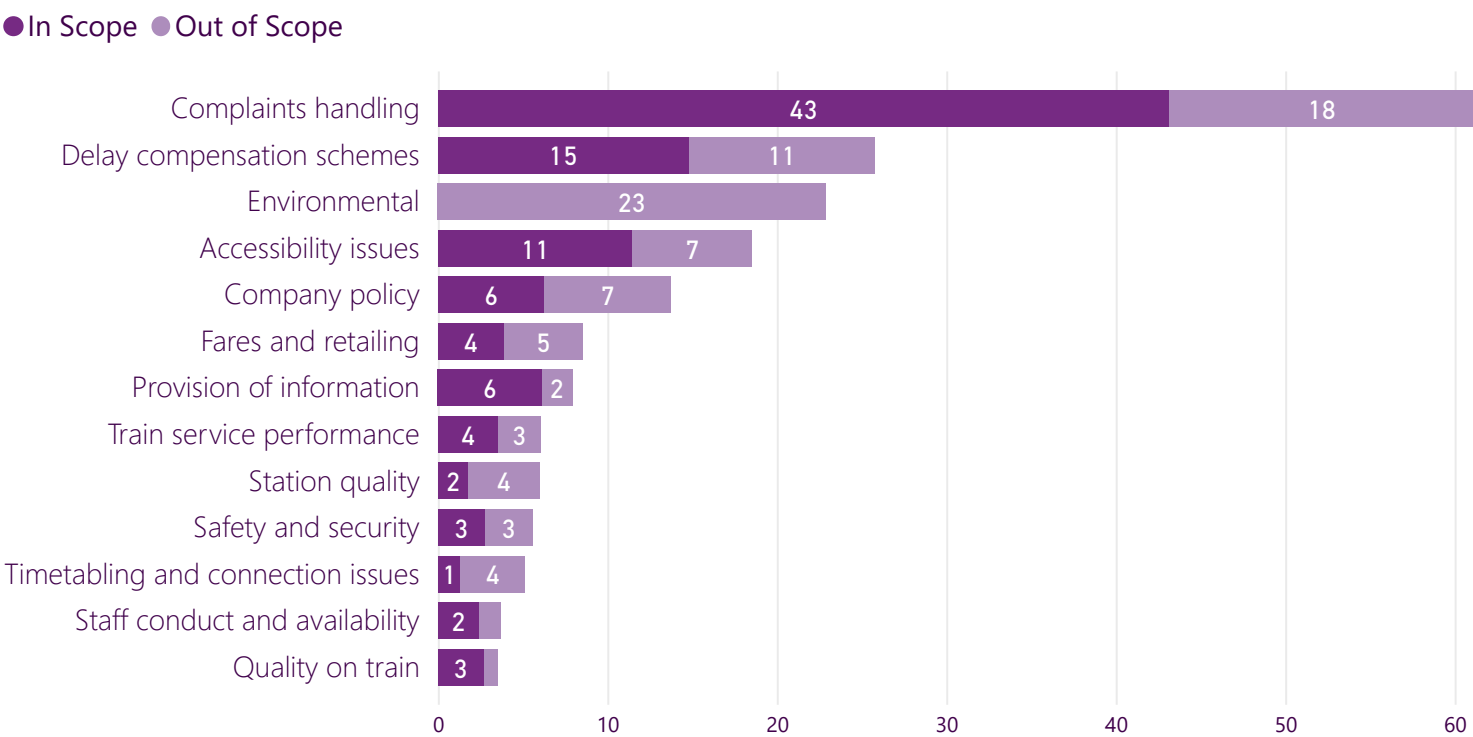
We work to resolve cases within 40 working days. However, extensions may be agreed by all parties in the event of exceptional circumstances or where additional evidence or independant advice is necessary for a decision to be made.



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 booking process	1
Accessibility issues	Assistance staff	4
Accessibility issues	Booked assistance not provided at station	4
Accessibility issues	Booked assistance not provided on train	3
Accessibility issues	Disabled toilets at station/on train	1
Accessibility issues	Lack of disabled facilities at station/on train	1
Accessibility issues	Other	4
Accessibility issues	Participating Rail Operating Company accessibility policy	1
Accessibility issues	The ease of being able to get on and off	1
Accessibility issues	Unbooked assistance not provided at station	1
Company policy	Onboard policy	1
Company policy	Other	3
Company policy	Ticketing and refunds policy	88
Complaints handling	Complaint not received	1
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	85
Complaints handling	No response from Participating Rail Operating Company	41
Complaints handling	Other	3
Complaints handling	Response time	3
Complaints handling	Unhappy at type/level of compensation	27
Delay compensation schemes	Compensation claim rejected	81
Delay compensation schemes	Compensation claims process	26
Delay compensation schemes	Level of compensation	33
Delay compensation schemes	Other	13
Delay compensation schemes	Participating Rail Operating Company processing error	2
Delay compensation schemes	Speed of response	26
Environmental	Litter and contamination	1
Environmental	Noise pollution	6
Environmental	Overgrown vegetation	5
Fares and retailing	Other	50
Fares and retailing	Smartcards	5
Fares and retailing	Ticket buying facilities	25
Fares and retailing	Value for money of ticket price	16

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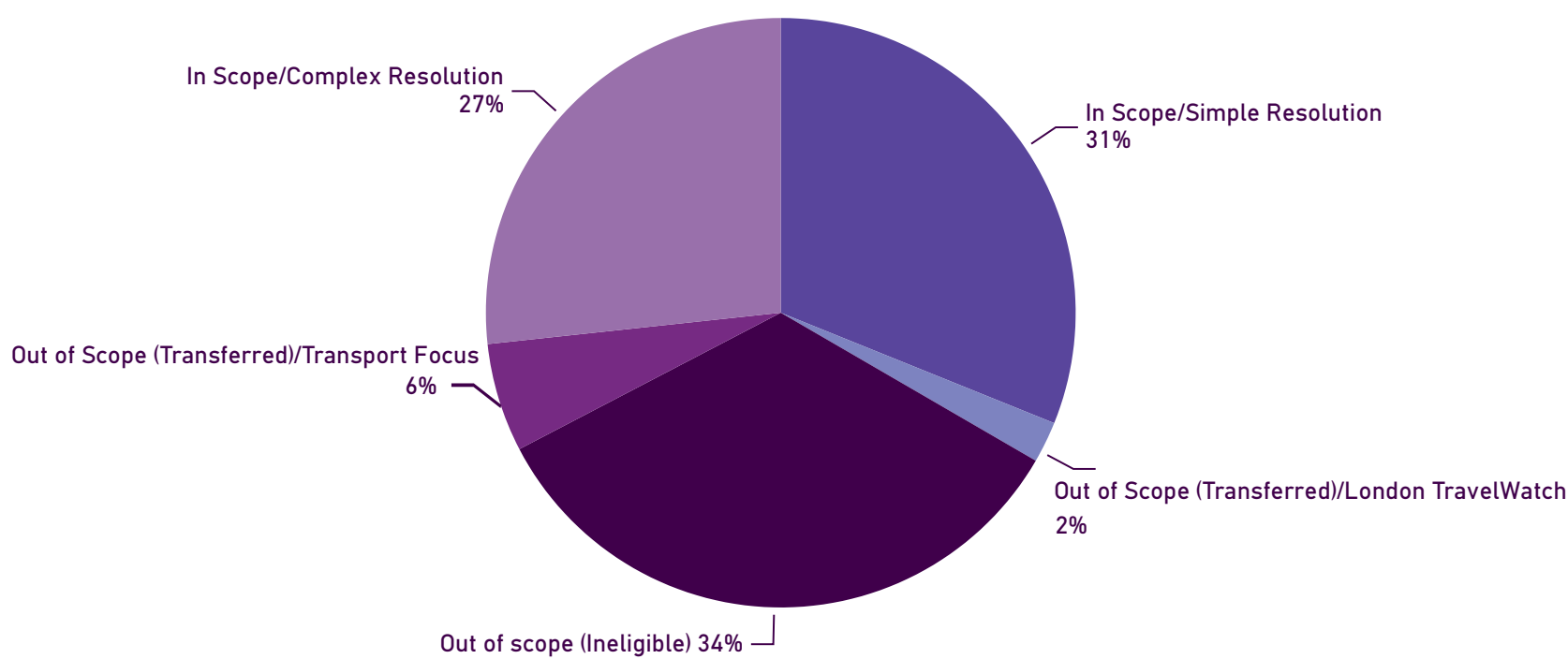
Top level category	Second level category	Vol. of complaints
Provision of information	Other	3
Provision of information	Provision of information about train times/platforms	21
Provision of information	Provision of information on website or mobile apps	1
Provision of information	The provision of information during the journey	6
Quality on train	Cleanliness of train	4
Quality on train	Facilities onboard	21
Quality on train	Other	3
Quality on train	Sufficient room for all passengers to sit/stand	28
Quality on train	The comfort of the seating area	2
Quality on train	The toilet facilities	2
Quality on train	Upkeep and repair of the train	5
Safety and security	Other	10
Safety and security	Personal security onboard	17
Safety and security	Personal security whilst using station	5
Staff conduct and availability	Other	1
Staff conduct and availability	The attitudes and helpfulness of the staff at station	13
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	17
Station quality	Facilities for car parking	3
Station quality	The facilities and services	7
Timetabling and connection issues	Connections with other forms of public transport	1
Timetabling and connection issues	Connections with other train services	4
Timetabling and connection issues	Other	1
Timetabling and connection issues	Routing	1
Timetabling and connection issues	The frequency of the trains on that route	5
Timetabling and connection issues	The length of time the journey was scheduled to take (speed)	1
Timetabling and connection issues	Timetabling	6
Train service performance	Other	12
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	73

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	224
In Scope/Simple Resolution	261
Out of scope (Ineligible)	285
Out of Scope (Transferred)/London TravelWatch	19
Out of Scope (Transferred)/Transport Focus	47
Total	836

Of the 836 complaints assessed in Quarter 3, 58% (485 complaints) were In Scope, 34% (285) were deemed to be Out of Scope and Ineligible for the scheme (71% of which were due to no deadlock letter provided). 8% (66) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

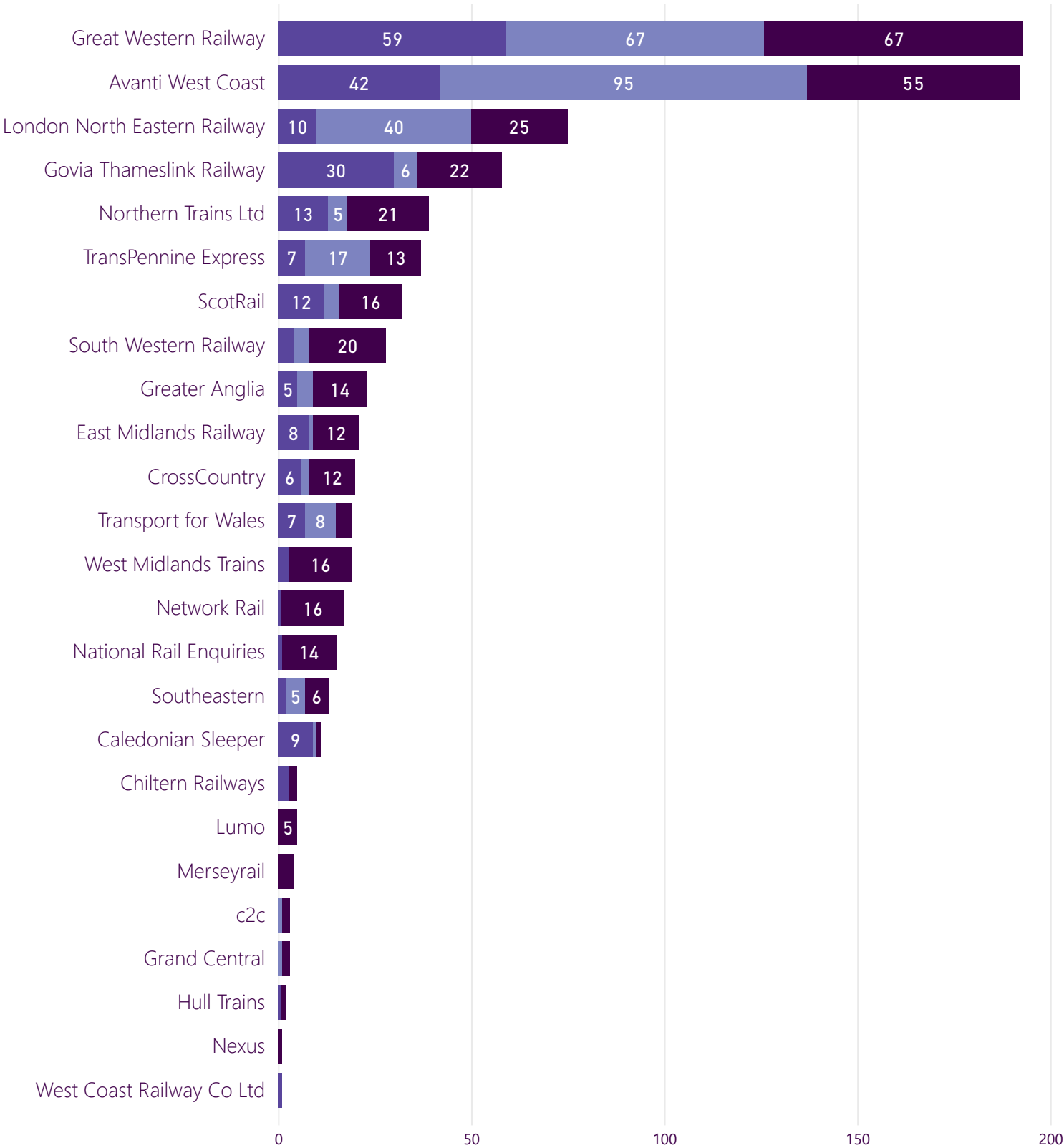


Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.

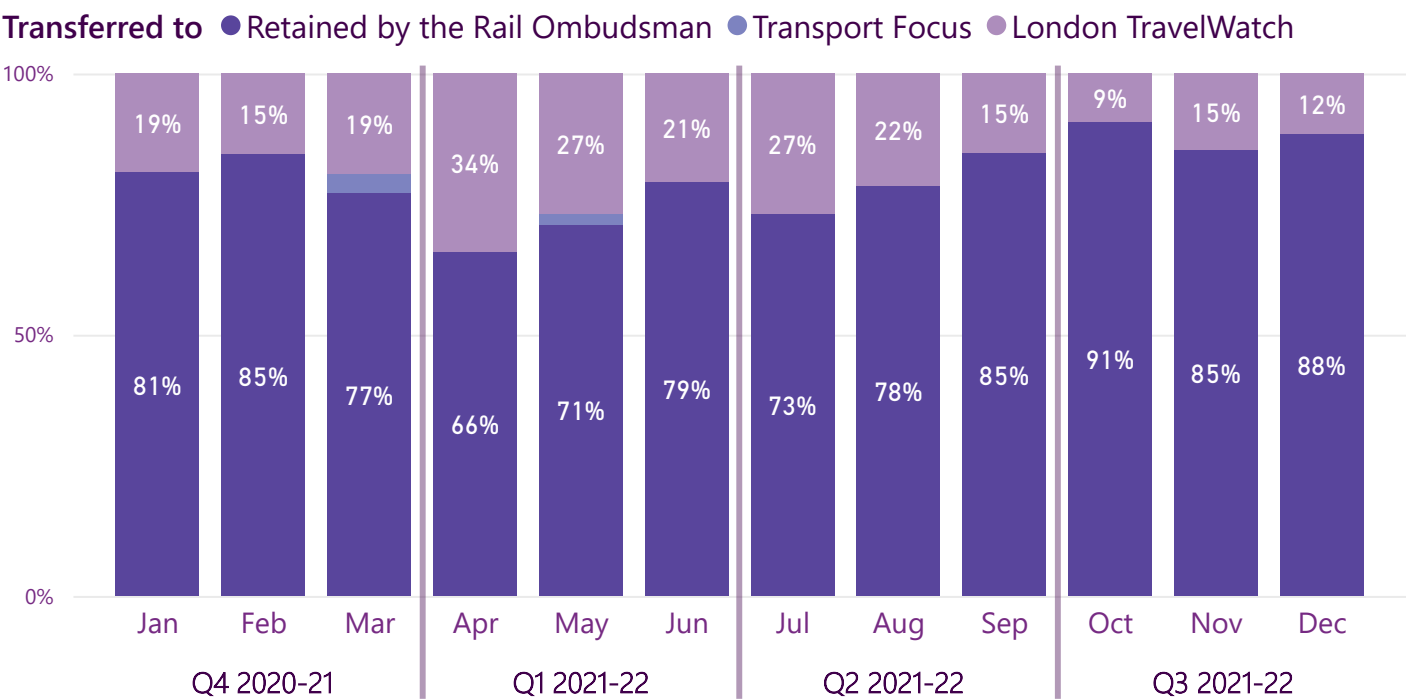
10. Complaint classifications by Participating Rail Operating Company

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



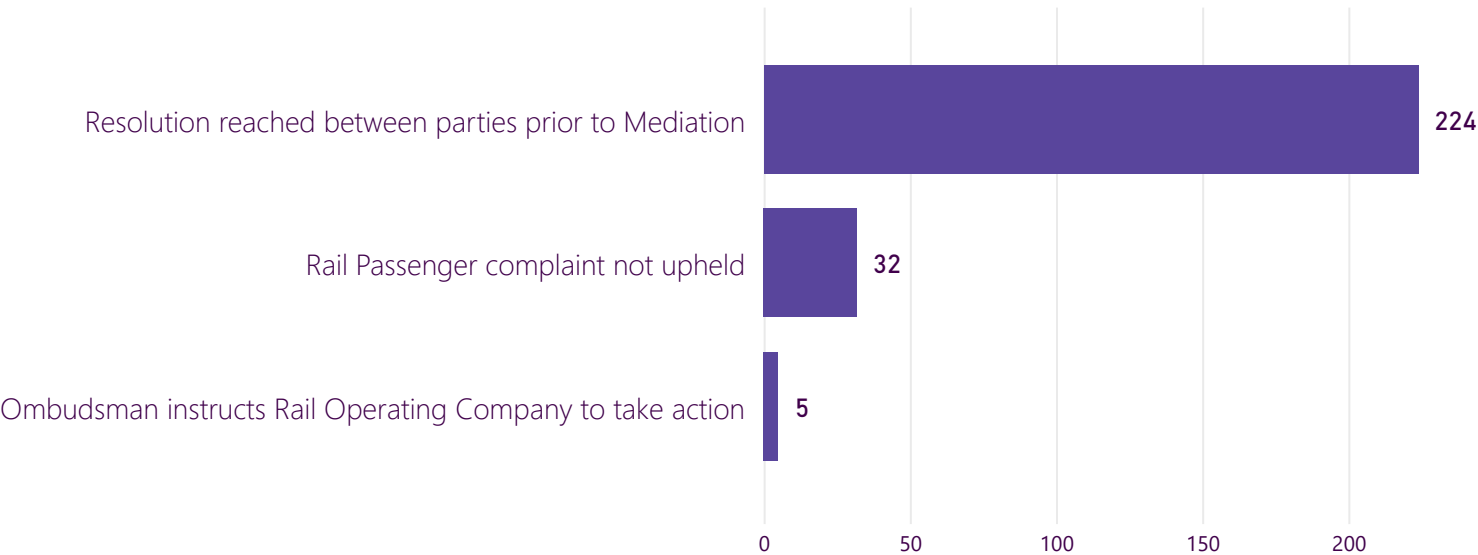
12. Out of Scope categories

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	204		204
Action being taken by alternative channel	28	16	44
Penalty fare appeals	2	33	35
Policy issues	1	14	15
Residential or lineside issues	14		14
Consumer withdrew	13		13
Already settled	4		4
Criminal claims	3	1	4
Personal injury claim	4		4
Business to business	3		3
Incident date prior to Ombudsman launch	3		3
Human Resources	2		2
Parking charge notices	2		2
Planned service alterations/closures		2	2
Campaigns/Petitions	1		1
Parking ticket pricing	1		1
Total	285	66	351

13. Simple Resolution case outcomes

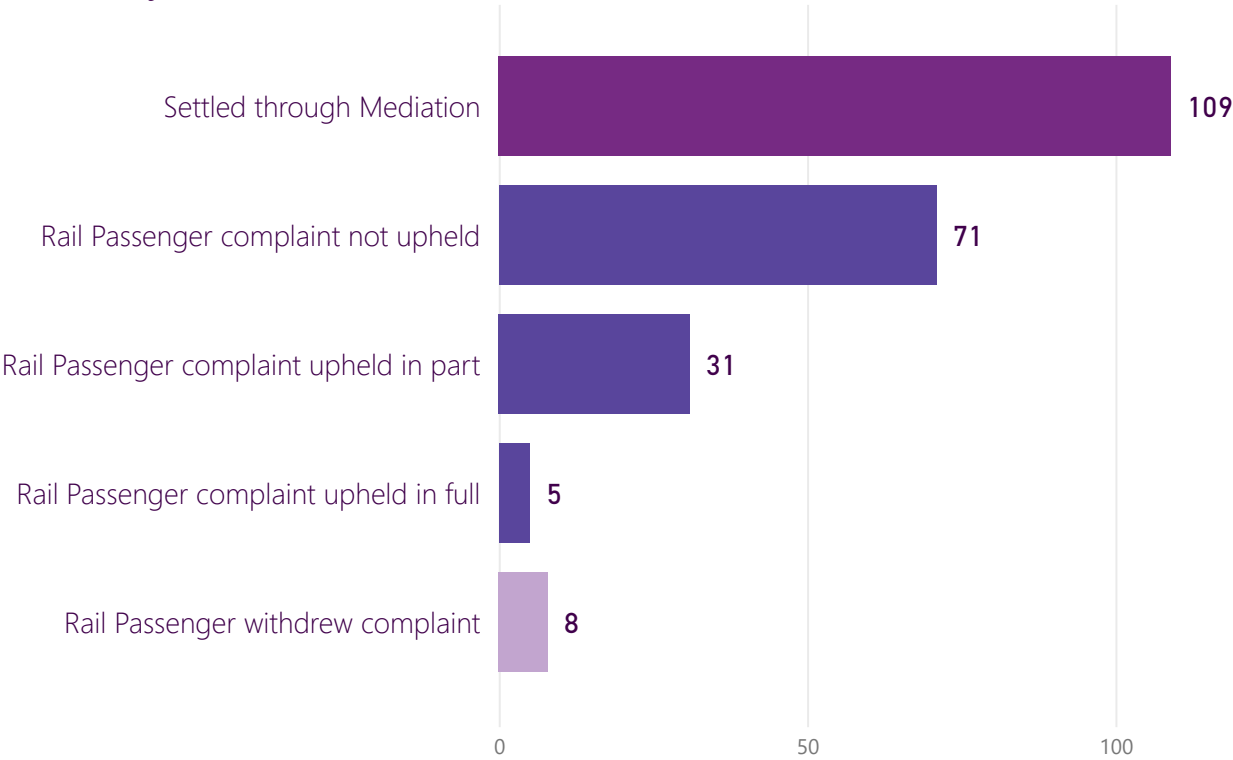
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

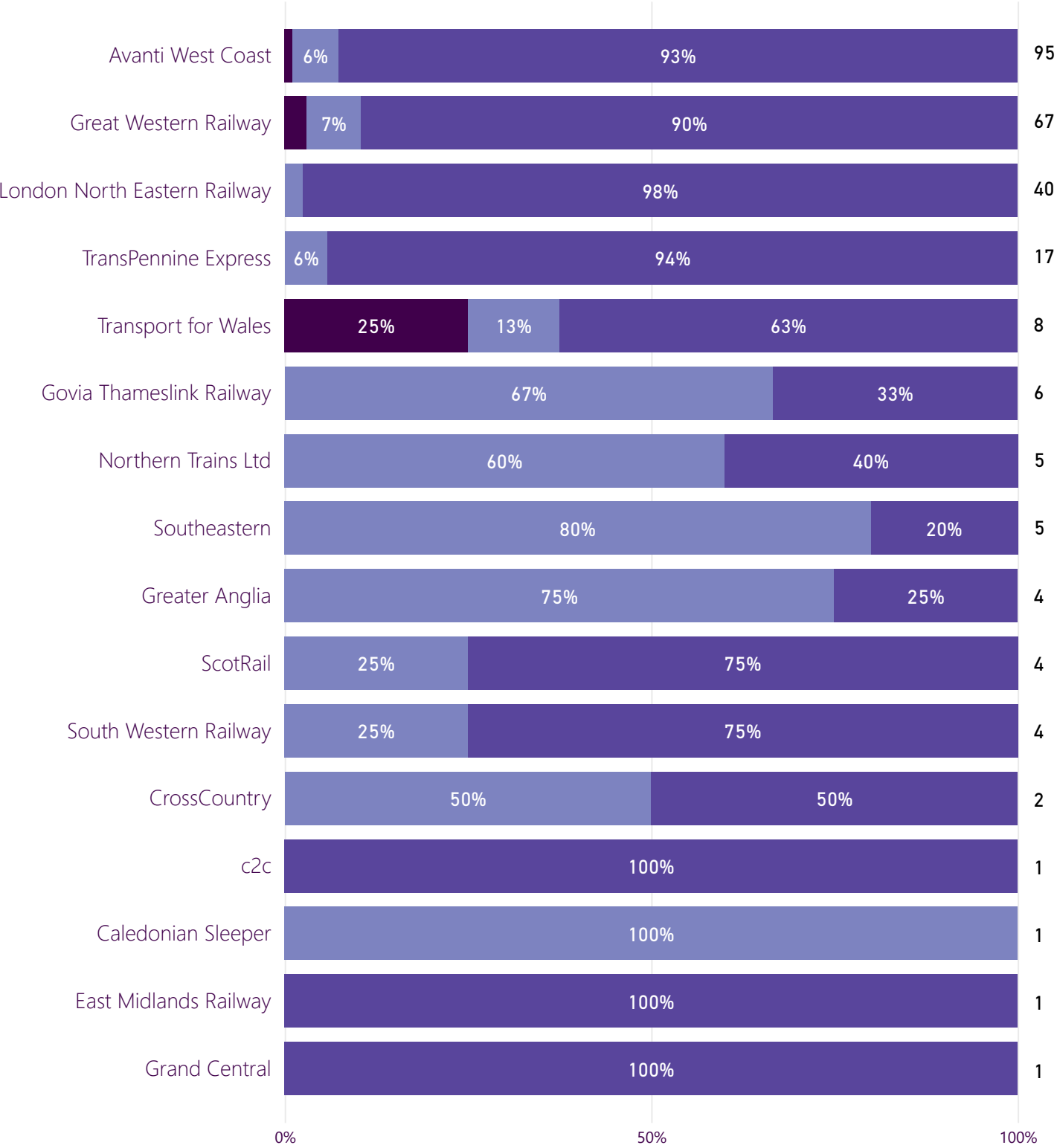
● Mediation ● Adjudication ● Withdrawn



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

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

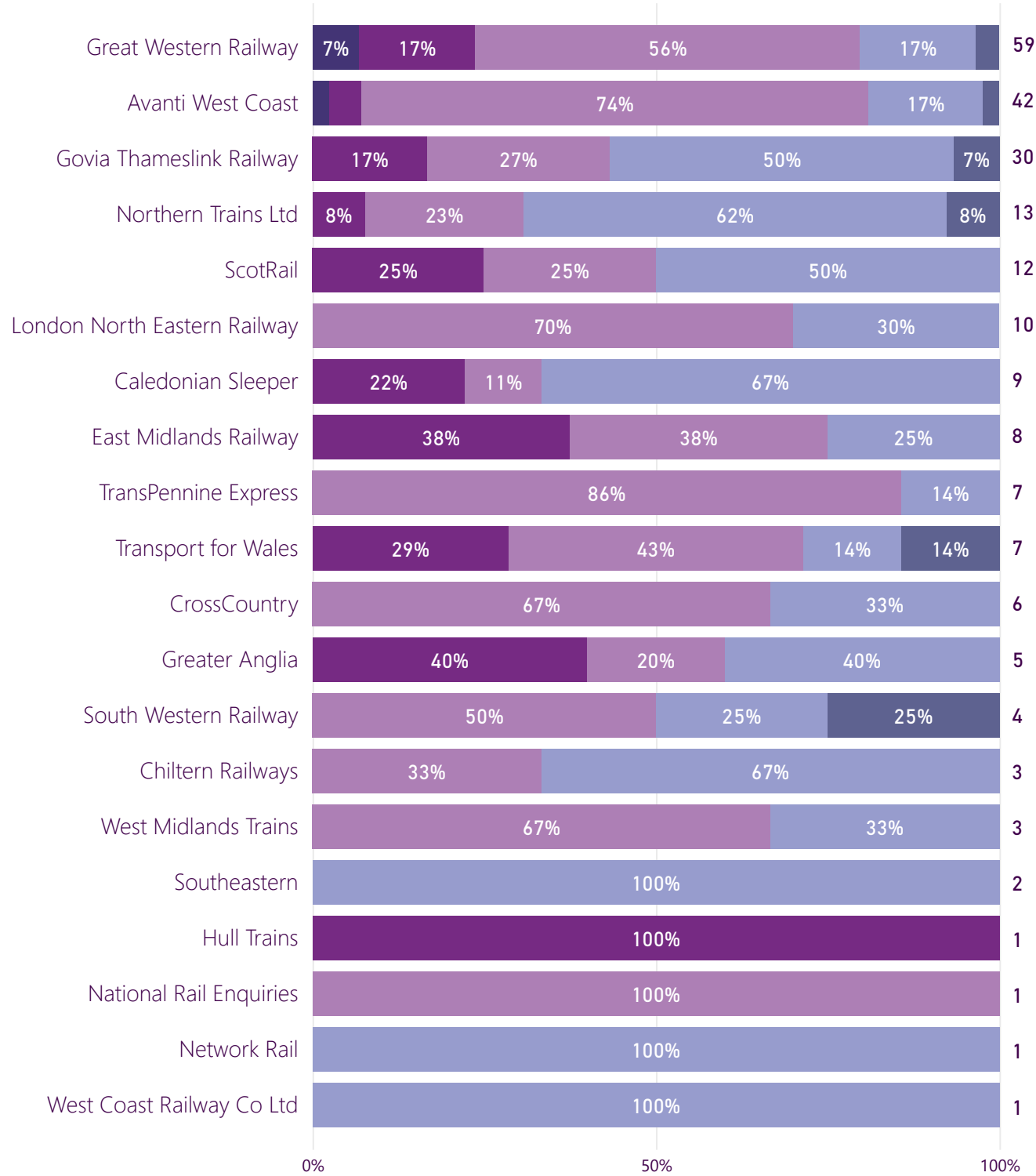
- Rail Passenger complaint not upheld
- Resolution reached between parties prior to Mediation
- Ombudsman instructs Rail Operating Company to take action



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

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

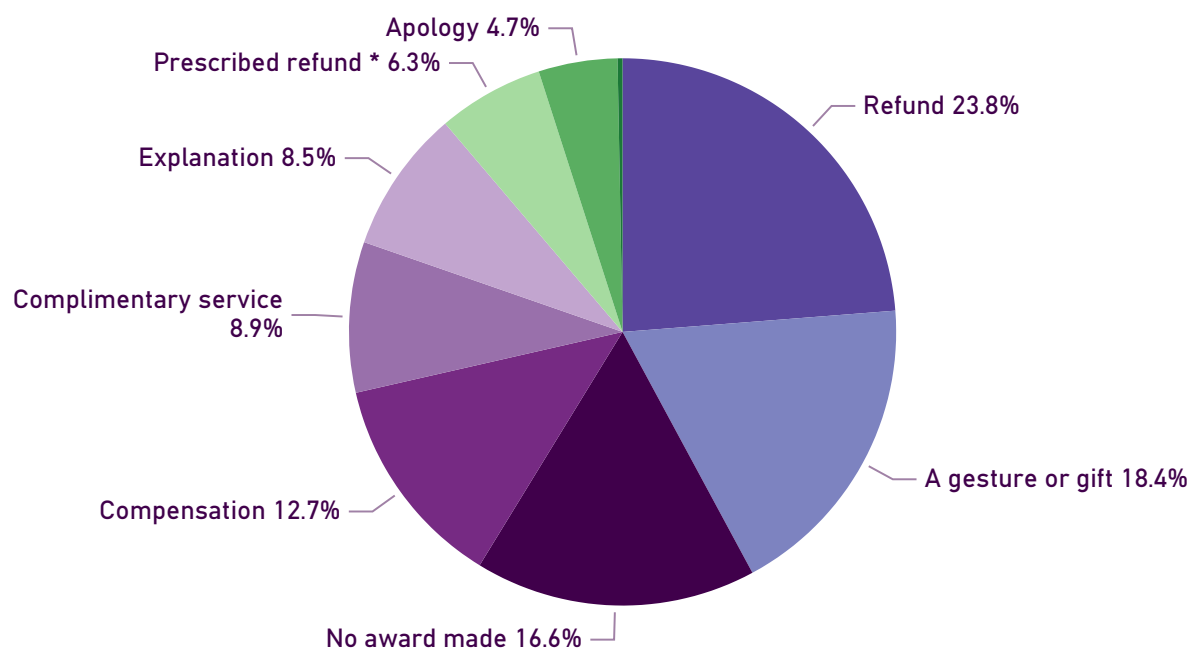
- Rail Passenger complaint upheld in full
- Rail Passenger complaint upheld in part
- Settled through Mediation
- Rail Passenger complaint not upheld
- Rail Passenger withdrew complaint



17. Resolution types and volume

Award type	No. of awards
A gesture or gift	126
Apology	32
Compensation	87
Complimentary service	61
Explanation	58
No award made	114
Prescribed refund *	43
Refund	163
Ticket reissue	2
Total	686

* 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
£80

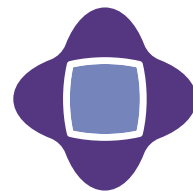
Largest financial
award made
£622

18. Resolution types and volume by Participating Rail Operating Company

ServiceProvider	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Ticket reissue	Total
Avanti West Coast	33	14	24	28	14	15	18	58		204
Great Western Railway	35	2	26	14	11	20	14	44		166
London North Eastern Railway	27	7	7	4	7	4	1	32		89
TransPennine Express	8	5	9		3	2	5	10	1	43
Govia Thameslink Railway	4		3	3	6	19	1	4	1	41
Transport for Wales	3		4	2	4	5	2	1		21
Northern Trains Ltd	2		2	1	2	11	1	1		20
ScotRail	1		3	2		7	1	2		16
East Midlands Railway	2		2	3	2	2		3		14
Caledonian Sleeper Train		1	2		1	7		1		12
Cross Country	2	1		2	2	3		1		11
South Western	2	1	2		1	2		2		10
Greater Anglia			2			6		1		9
Southeastern	1					6				7
Chiltern Railways	1	1			1	2				5
West Midlands Trains	1				2	1				4
c2c								1		1
Grand Central			1							1
Hull Trains	1									1
National Rail Enquiries	1									1
Network Rail						1				1
West Coast Railway Co Ltd						1				1
Total	124	32	87	59	56	114	43	161	2	678

* paid in accordance with the delay repay procedure

The Rail Ombudsman



www.railombudsman.org

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