

Quarterly Statistical Report

Q4

Dates: 01/01/22 - 31/03/22

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 4 include complaints raised in the previous quarter.

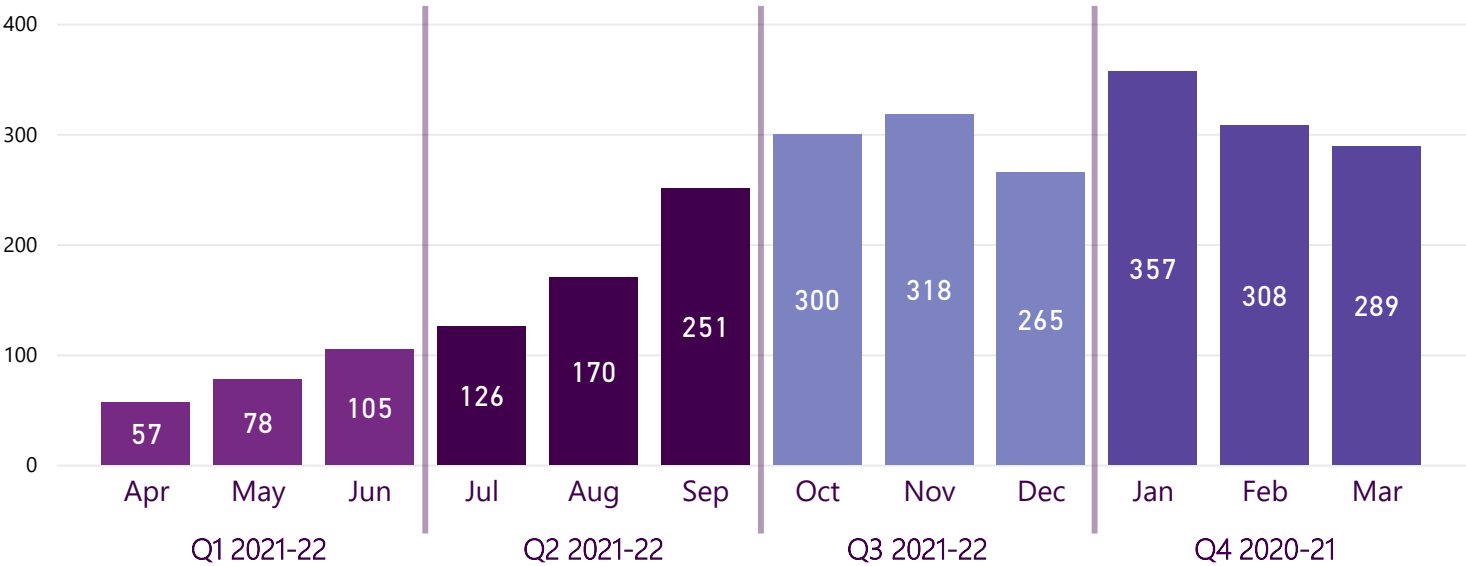


Quarter 4: Key Facts

	Q4 2021-22	vs Q3 2021-22	vs Q4 2020-21
New cases referred to the Rail Ombudsman	954	+9%	+308%
Cases evaluated by the Rail Ombudsman	981	+18%	+230%
% Cases found to be In Scope for the scheme	68%	+10% pts	+4% pts
% Cases referred to consumer advocacy bodies	7%	-1% pts	-6% pts
% Cases found to be Out of Scope: Ineligible	25%	-9% pts	+2% pts
Average financial award (where financial award secured)	£55	-31%	-18%

'Delay compensation schemes' remains the largest complaint category accounting for 27% of complaints evaluated this quarter. 'Complaints handling' is in second place with 16% of complaints and 'Train service performance' has replaced 'Fares and retailing' as the 3rd largest category with 15% of complaints this quarter.

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



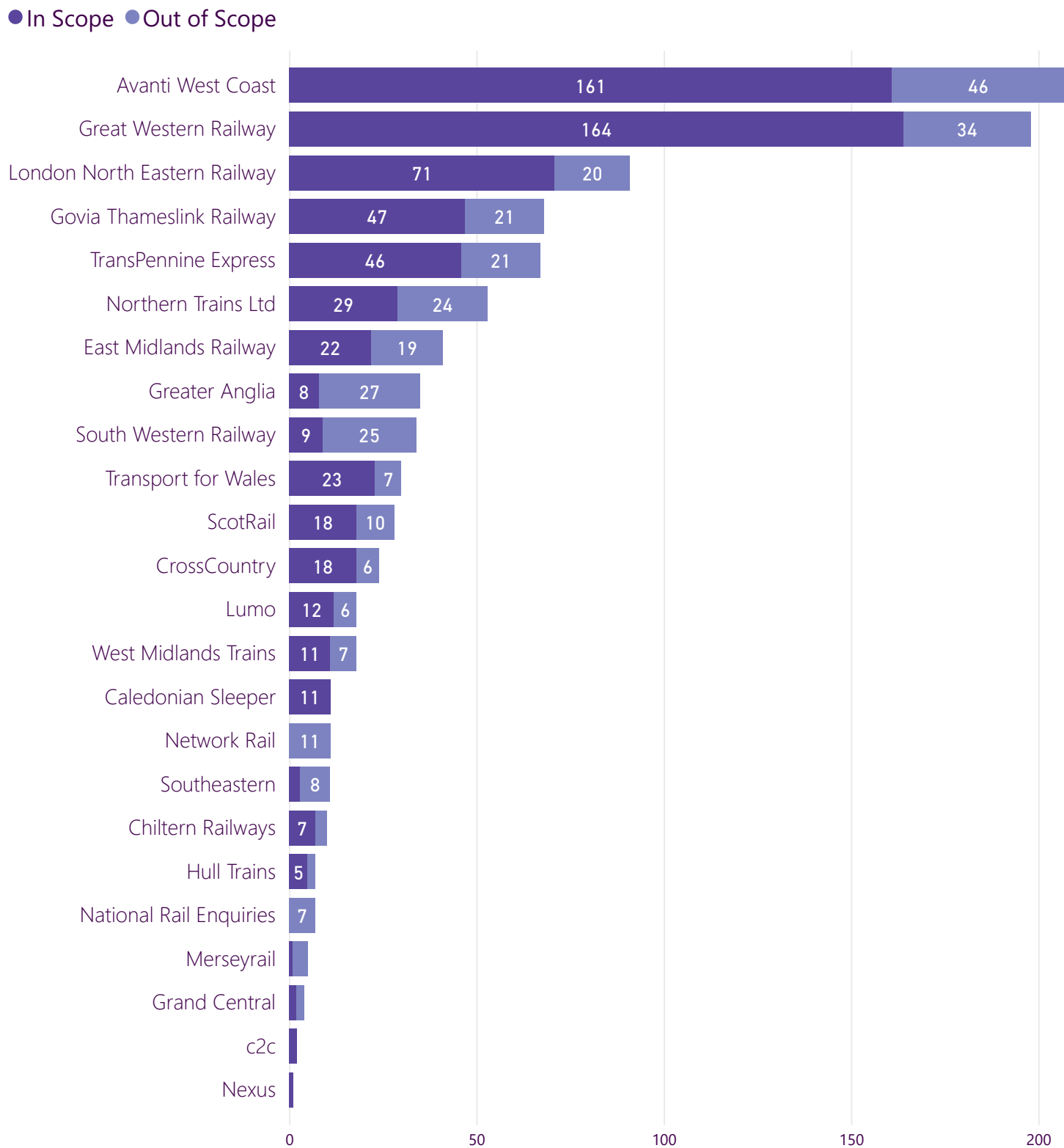
Total referred to the Rail Ombudsman in Quarter 4: 954

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.

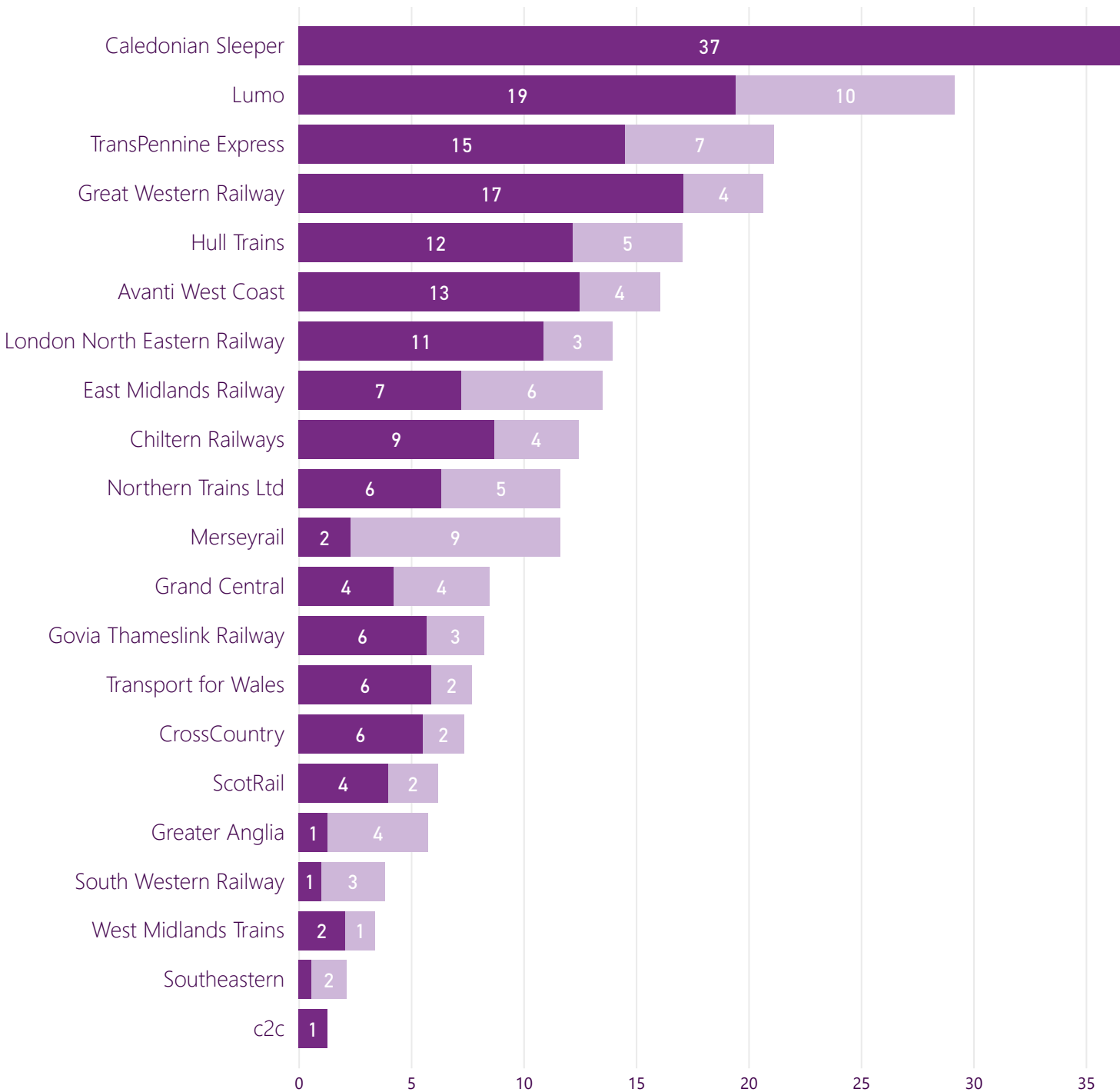




3. Ombudsman referrals per 1000 complaints handled by Rail Operating Companies

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

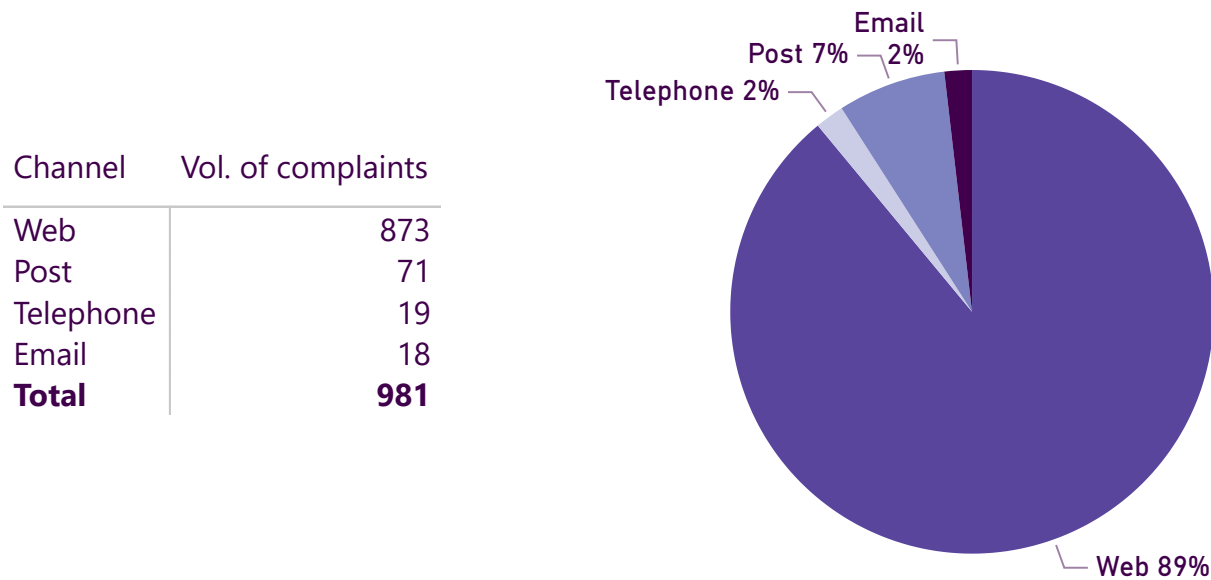


(Rail Operators' complaint volumes source: ORR)

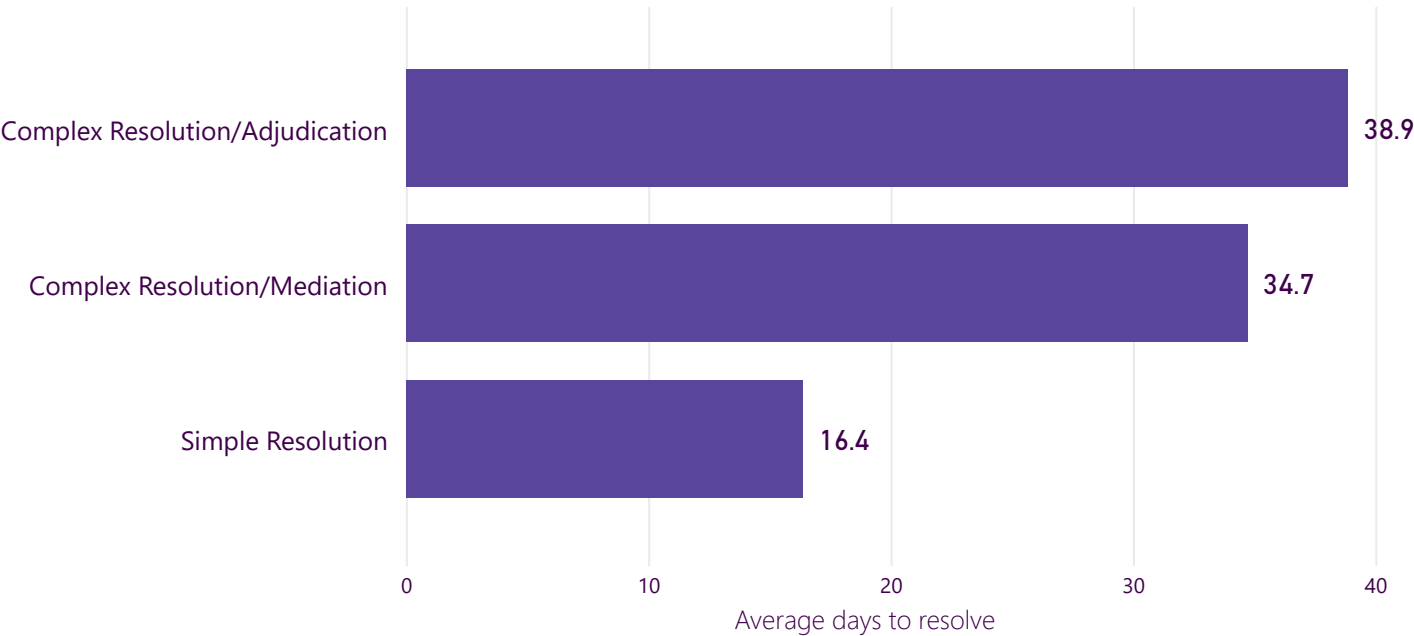


4. Channel used by Rail Passengers to refer complaints to the Rail Ombudsman

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

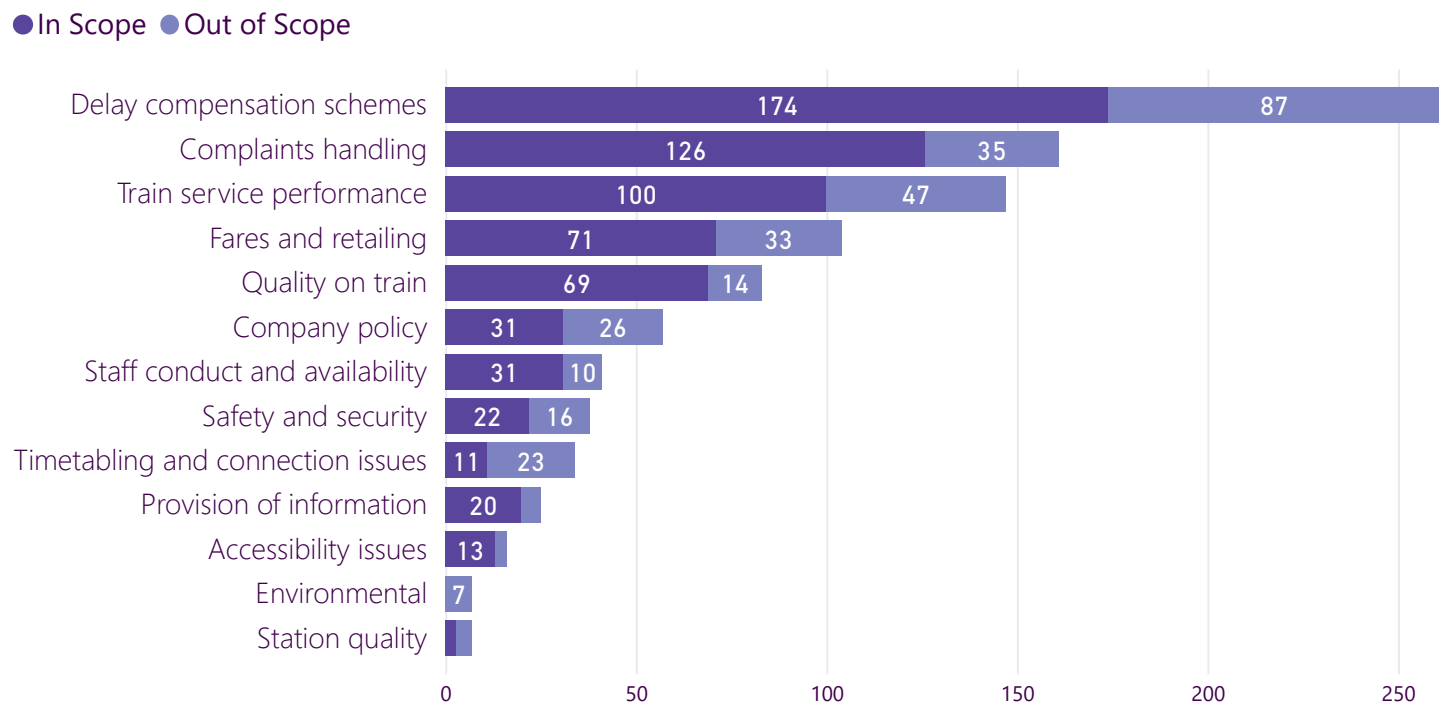


5. Average time to close In Scope complaints in working days

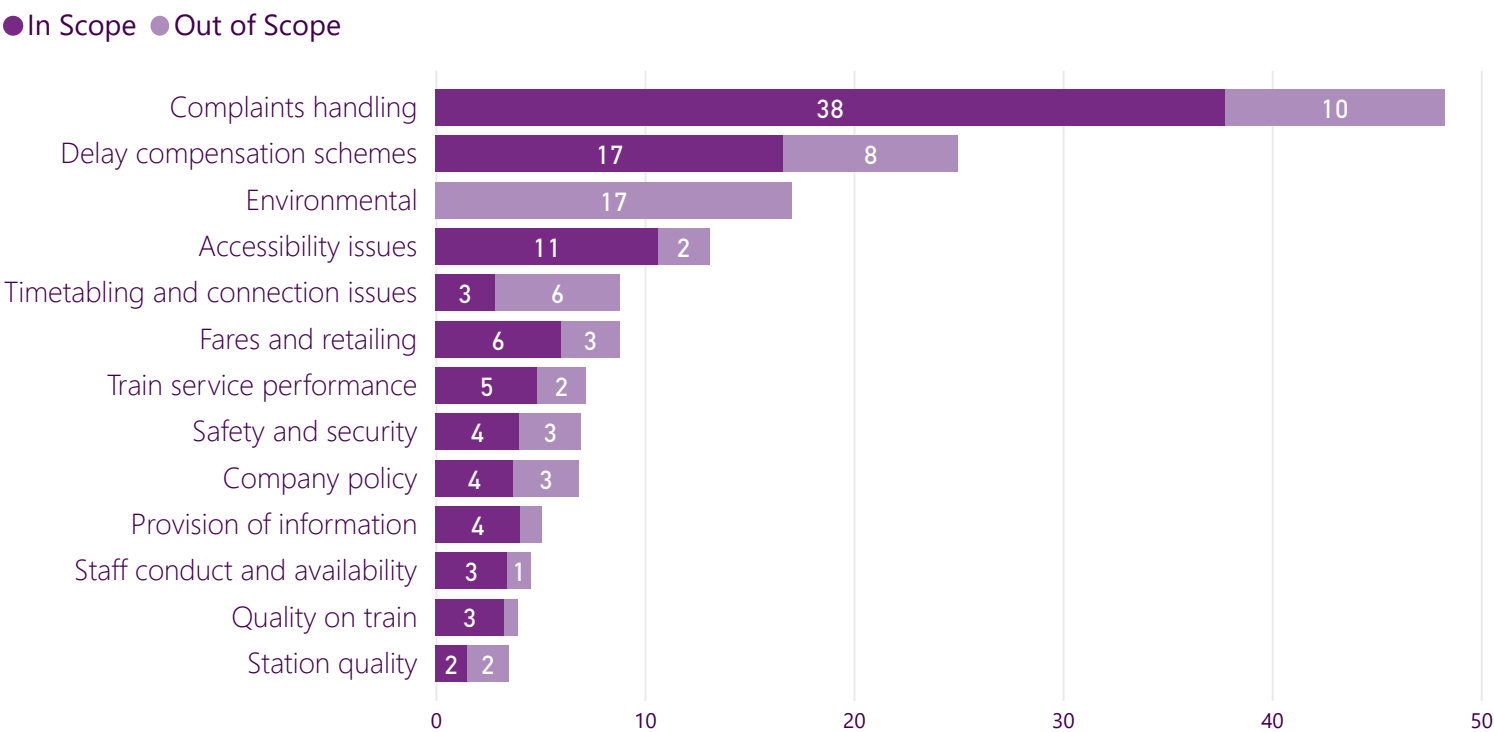


We work to resolve cases within 40 working days. However, extensions may be agreed by all parties in the event of exceptional circumstances or where additional evidence or independant advice is necessary for a decision to be made.

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 staff	4
Accessibility issues	Booked assistance not provided at station	5
Accessibility issues	Disabled toilets at station/on train	1
Accessibility issues	Lack of disabled facilities at station/on train	2
Accessibility issues	Other	1
Accessibility issues	Participating Rail Operating Company accessibility policy	2
Accessibility issues	Quality of service from Help Points (including requesting assistance)	1
Company policy	Onboard policy	2
Company policy	Other	3
Company policy	Ticketing and refunds policy	52
Complaints handling	Complaint not received	1
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	90
Complaints handling	No response from Participating Rail Operating Company	33
Complaints handling	Other	4
Complaints handling	Response time	10
Complaints handling	Unhappy at type/level of compensation	23
Delay compensation schemes	Awareness/promotion of schemes	1
Delay compensation schemes	Compensation claim rejected	118
Delay compensation schemes	Compensation claims process	31
Delay compensation schemes	Level of compensation	46
Delay compensation schemes	Other	14
Delay compensation schemes	Participating Rail Operating Company processing error	5
Delay compensation schemes	Speed of response	46
Environmental	Litter and contamination	1
Environmental	Noise pollution	4
Environmental	Other	2
Fares and retailing	Other	62
Fares and retailing	Smartcards	4
Fares and retailing	Ticket buying facilities	28
Fares and retailing	Value for money of ticket price	10
Provision of information	Provision of information about train times/platforms	16
Provision of information	Provision of information on website or mobile apps	2
Provision of information	The provision of information during the journey	7

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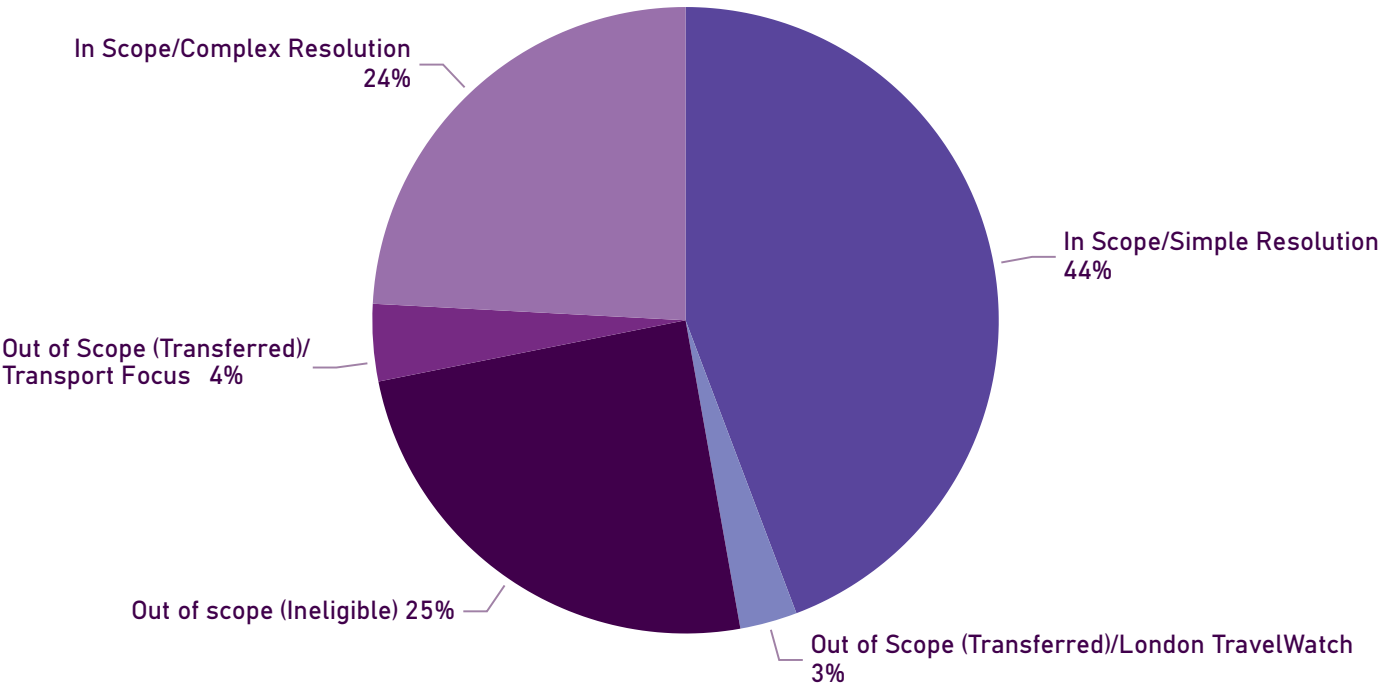
Top level category	Second level category	Vol. of complaints
Quality on train	Cleanliness of train	6
Quality on train	Facilities onboard	31
Quality on train	Other	4
Quality on train	Sufficient room for all passengers to sit/stand	34
Quality on train	The toilet facilities	5
Quality on train	Upkeep and repair of the train	3
Safety and security	Other	7
Safety and security	Personal security onboard	25
Safety and security	Personal security whilst using station	6
Staff conduct and availability	How request to station staff was handled	2
Staff conduct and availability	Other	3
Staff conduct and availability	The attitudes and helpfulness of the staff at station	17
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)	3
Staff conduct and availability	The helpfulness and attitude of staff on train	15
Station quality	Facilities for car parking	3
Station quality	Other	1
Station quality	The facilities and services	2
Station quality	The upkeep/repair of the station buildings/platforms	1
Timetabling and connection issues	Connections with other forms of public transport	4
Timetabling and connection issues	Connections with other train services	7
Timetabling and connection issues	Other	3
Timetabling and connection issues	Routing	2
Timetabling and connection issues	The frequency of the trains on that route	12
Timetabling and connection issues	Timetabling	6
Train service performance	Other	12
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	135

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	237
In Scope/Simple Resolution	434
Out of scope (Ineligible)	242
Out of Scope (Transferred)/London TravelWatch	29
Out of Scope (Transferred)/Transport Focus	39
Total	981

Of the 981 complaints assessed in Quarter 4, 68% (671 complaints) were In Scope, 25% (242) were deemed to be Out of Scope and Ineligible for the scheme (63% of which were due to no deadlock letter provided). 7% (68) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.



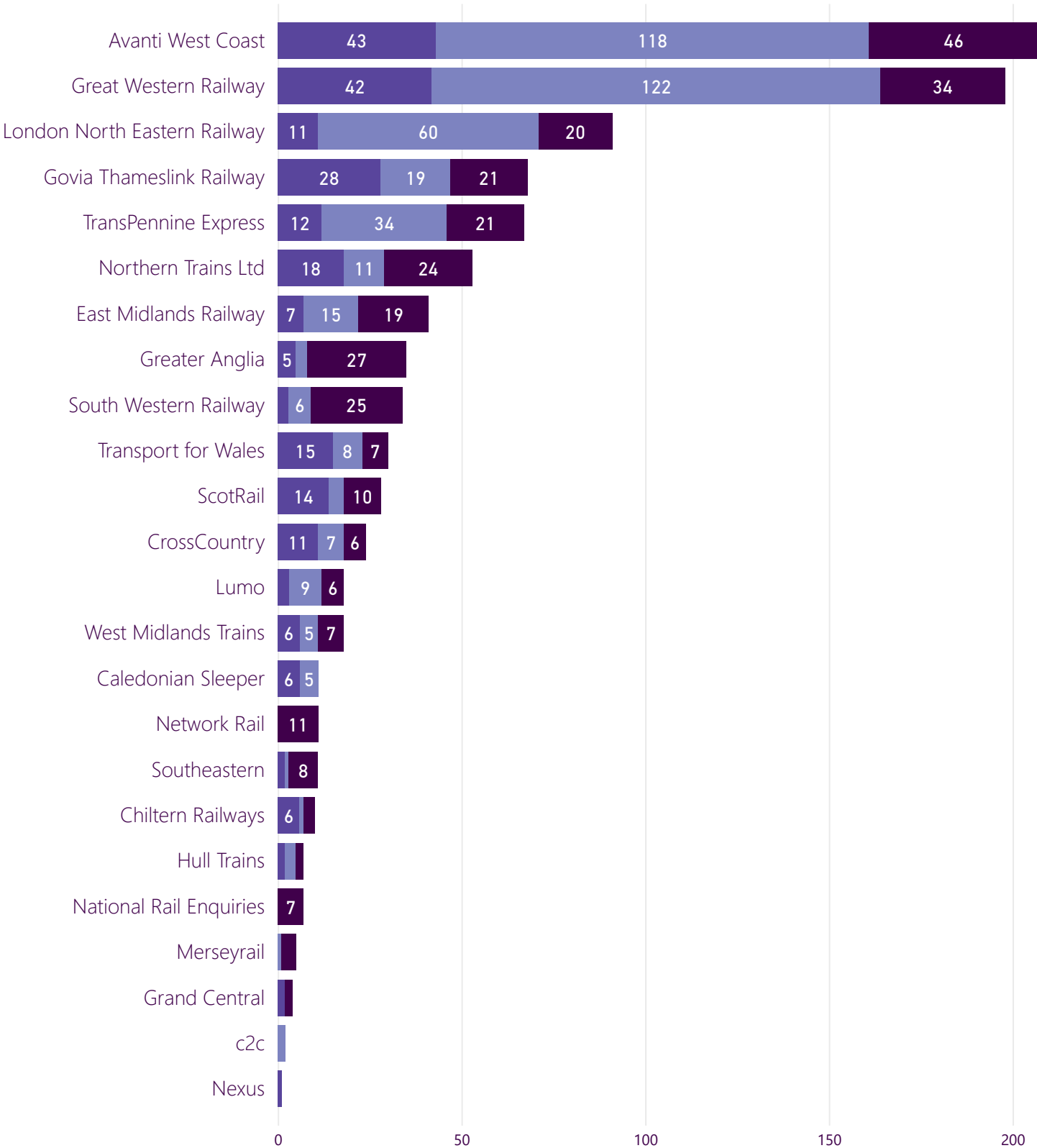
Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.



10. Complaint classifications by Participating Rail Operating Company

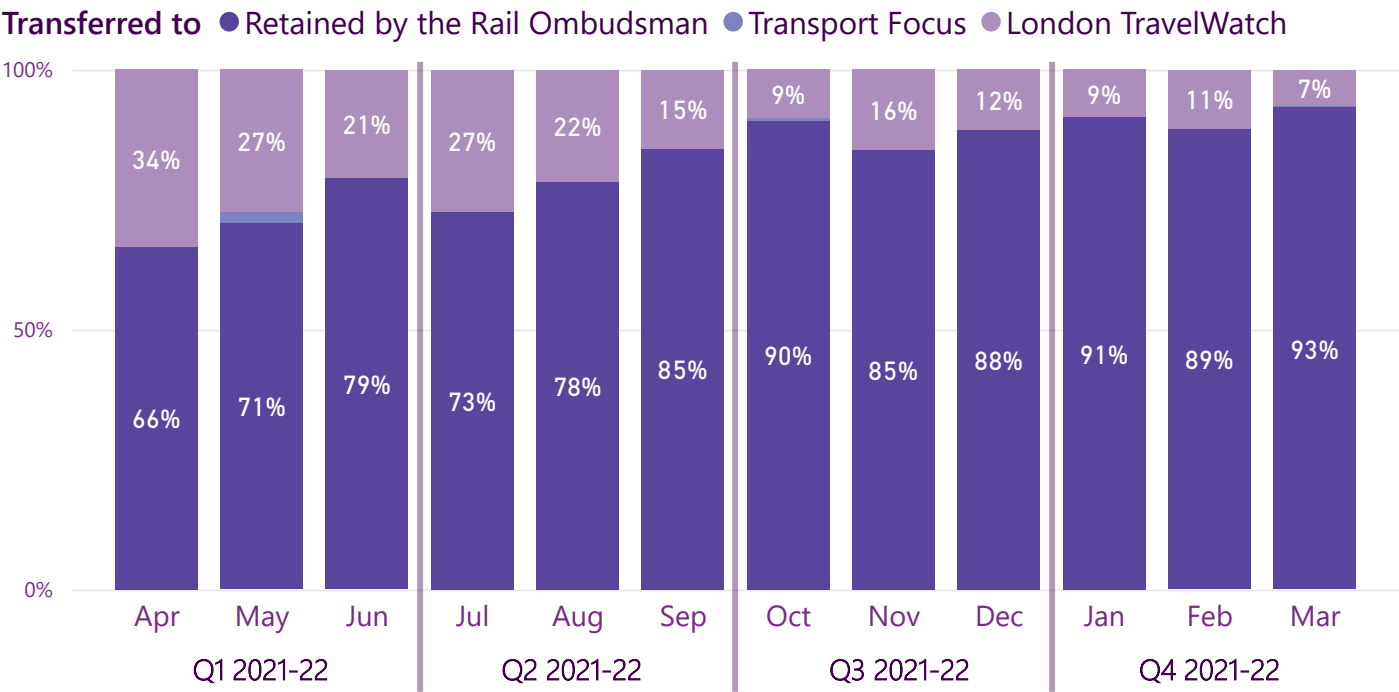
Complaints evaluated by the Rail Ombudsman during Quarter 4, by Participating Rail Operating Company.

● 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



12. Out of Scope categories

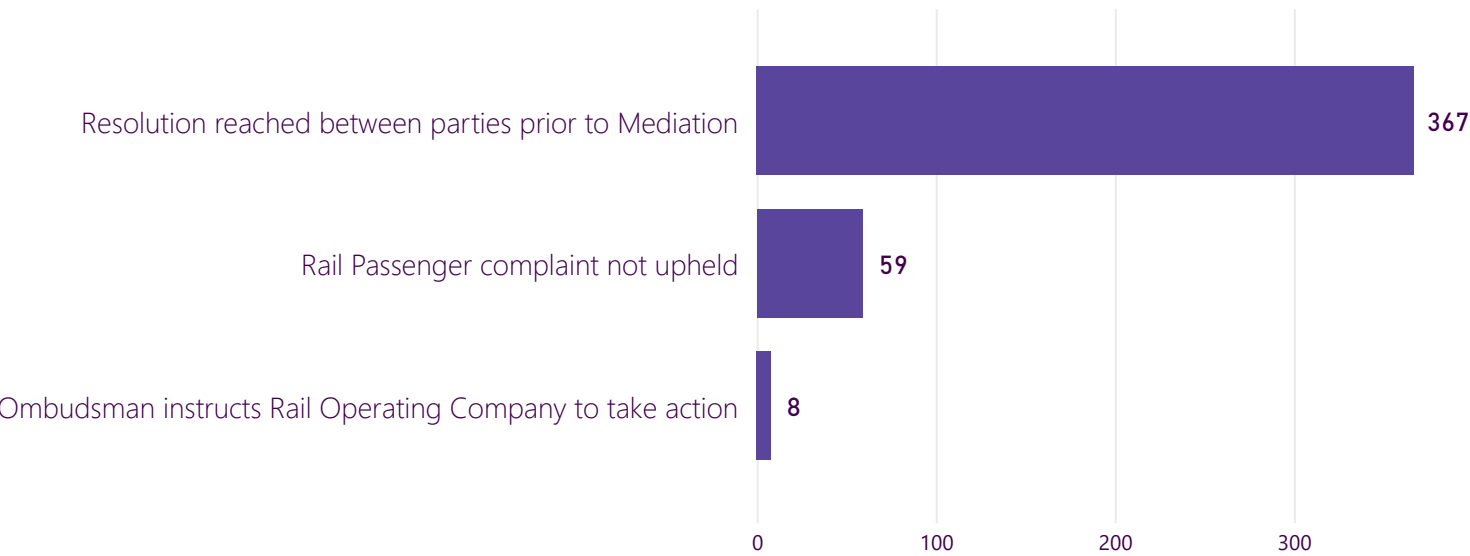
Reasons complaints referred to the Rail Ombudsman were assessed to be Out of Scope.

Out of Scope category	Out of Scope (Ineligible)	Out of Scope (Transferred)	Total
No deadlock letter provided	152		152
Action being taken by alternative channel	33	13	46
Penalty fare appeals	1	22	23
Planned service alterations/closures		23	23
Already settled	22		22
Personal injury claim	10		10
Residential or lineside issues	10		10
Policy issues	2	7	9
Consumer withdrew	8		8
Criminal claims	1	1	2
Parking charge notices	2		2
Strikes		2	2
Parking ticket pricing	1		1
Total	242	68	310



13. Simple Resolution case outcomes

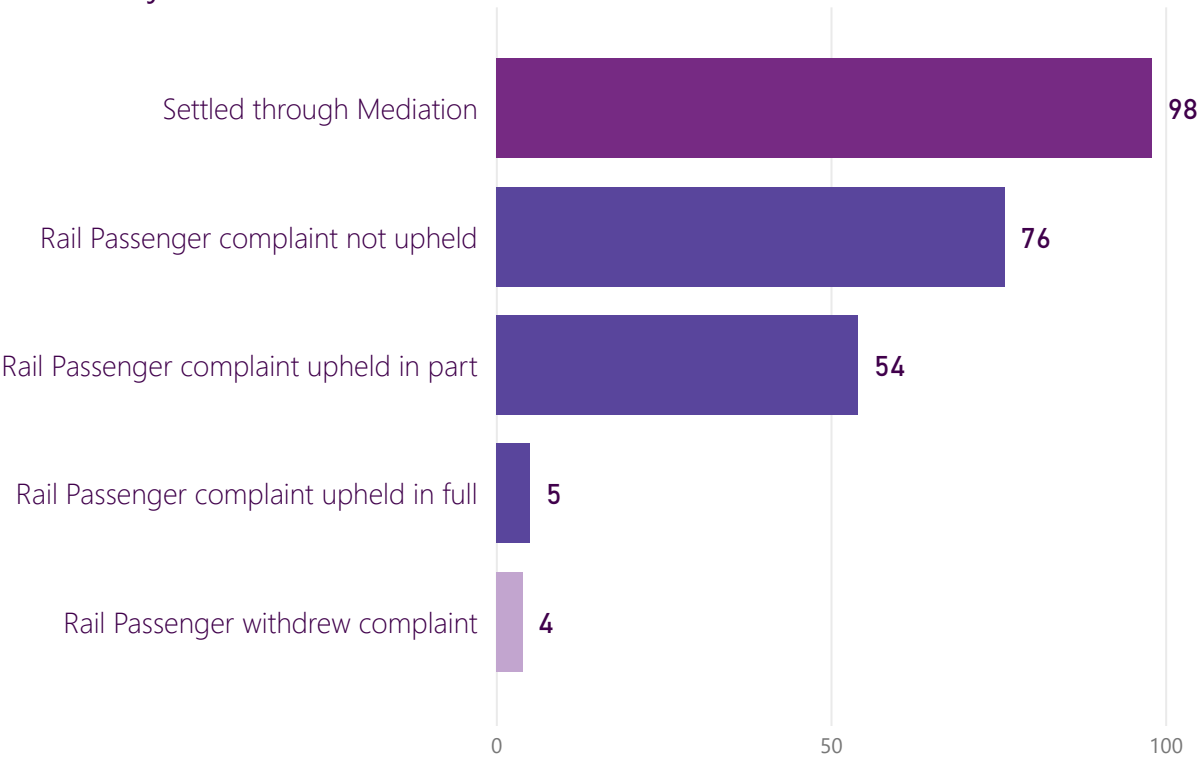
Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

Outcomes of closed Complex Resolution cases.

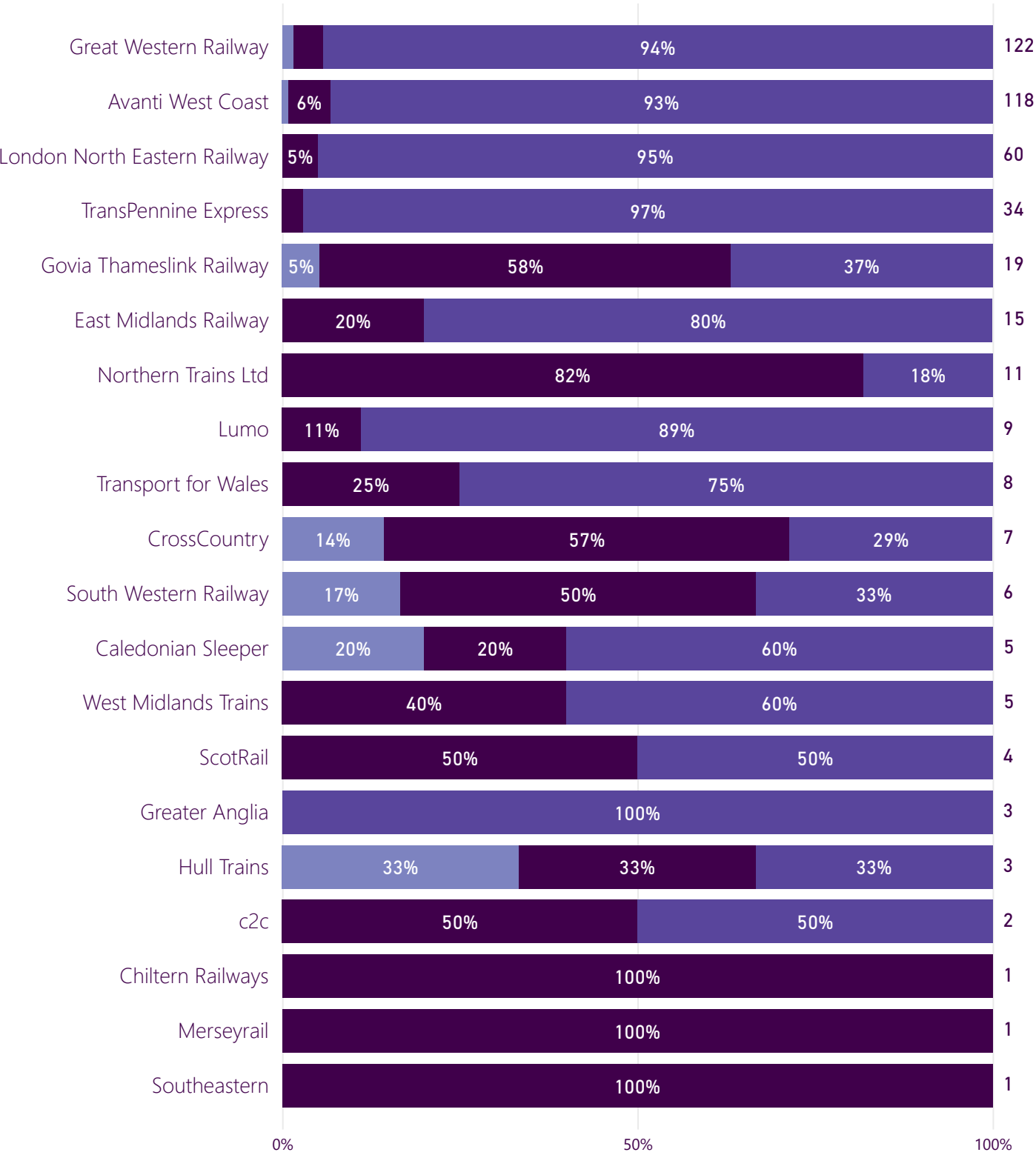
● Mediation ● Adjudication ● Withdrawn





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

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

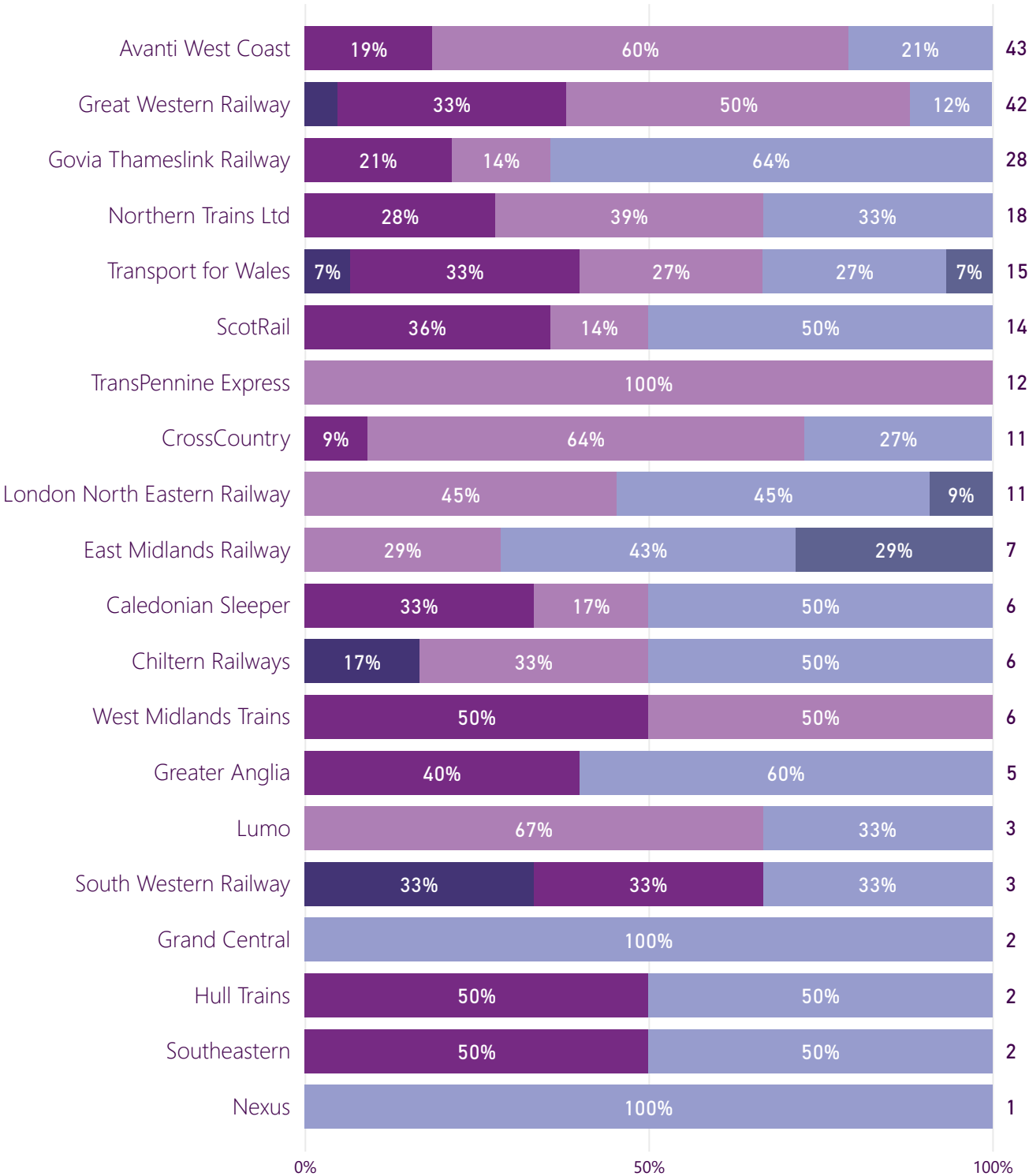




16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

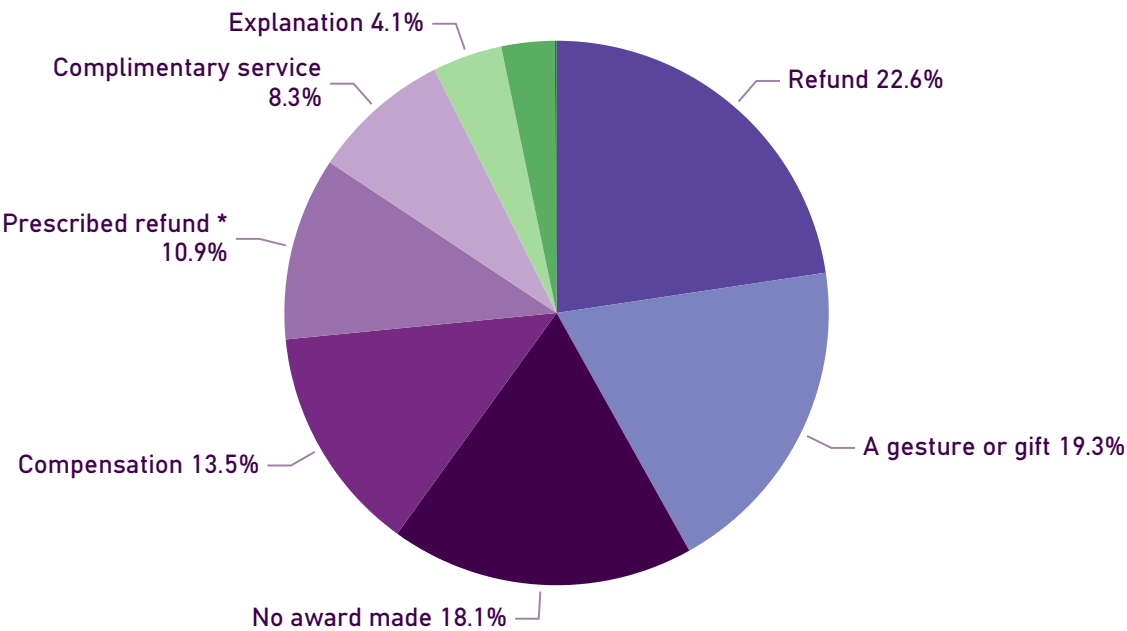
- Rail Passenger complaint upheld in full
- Rail Passenger complaint upheld in part
- Settled through Mediation
- Rail Passenger complaint not upheld



17. Resolution types and volume

Award type	No. of awards
A gesture or gift	177
Apology	29
Compensation	124
Complimentary service	76
Explanation	38
No award made	166
Prescribed refund *	100
Refund	208
Ticket reissue	1
Total	919

* 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
£55

Largest financial award
made
£500

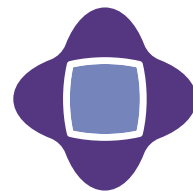


18. Resolution types and volume by Participating Rail Operating Company

ServiceProvider	A gesture or gift	Apology	Compensation	Complimentary service	Explanation	No award made	Prescribed refund *	Refund	Ticket reissue	Total
Avanti West Coast	40	11	25	29	9	24	42	50		230
Great Western Railway	61	4	30	17	10	16	29	63		230
London North Eastern Railway	31	1	15	5	3	8	5	47		115
TransPennine Express	28	7	15	1	3	3	6	16		79
Govia Thameslink Railway			3	4	2	32	4	2	1	48
Northern Trains Ltd	4	2	2	3	2	15		5		33
Transport for Wales	4		6	6	1	8	2	3		30
East Midlands Railway	2		5	1	1	10	3	4		26
ScotRail	1	1	4	2	1	9		3		21
Cross Country	2			6	2	8	1	1		20
Lumo	1		2		1	2	1	8		15
Caledonian Sleeper Train	1	1	3	1	1	6	1			14
Greater Anglia	1		4		1	3	2	1		12
West Midlands Trains			4	1		3	3	1		12
South Western		1	4		1	4		1		11
Chiltern Railways	1		1			6				8
Hull Trains		1	1			3	1			6
Southeastern						2		1		3
c2c								2		2
Grand Central						2				2
Merseyrail						1				1
Nexus						1				1
Total	177	29	124	76	38	166	100	208	1	919

** paid in accordance with the delay repay procedure*

The Rail Ombudsman



www.railombudsman.org

Dates: 01/01/22 - 31/03/22