

# Quarterly Statistical Report

# Q3

Dates: 01/10/22 - 31/12/22



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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: <a href="http://www.railombudsman.org/about-us/Participating-service-providers/">www.railombudsman.org/about-us/Participating-service-providers/</a>
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/>

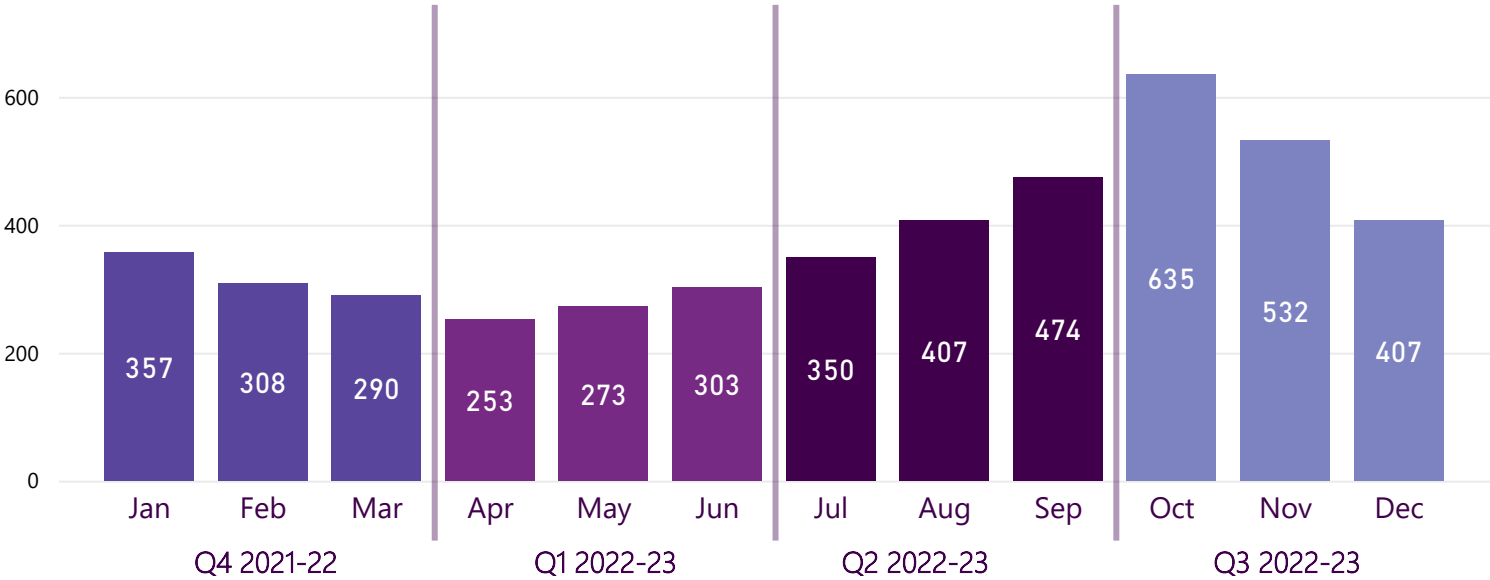
Complaints evaluated / closed by the Rail Ombudsman during Quarter 3 include complaints raised in the previous quarter.

# Quarter 3: Key Facts

	Q3 2022-23	vs Q2 2022-23	vs Q3 2021-22
New cases referred to the Rail Ombudsman	1574	+28%	+44%
Cases evaluated by the Rail Ombudsman	1559	+52%	+46%
% Cases found to be In Scope for the scheme	74%	+12% pts	+16% pts
% Cases referred to consumer advocacy bodies	4%	-1% pts	-4% pts
% Cases found to be Out of Scope: Ineligible	22%	-11% pts	-12% pts
Average financial award (where financial award secured)	£94	+31%	+18%

The impact of industrial action is seen in Quarter 3’s casework. As such, ‘Delay Compensation Schemes’ remains the largest complaint category, accounting for 36% of complaints evaluated this quarter. ‘Complaints Handling’ is in second place with 17% of complaints and ‘Train Service Performance’ remains the third largest category with 13% of complaints this quarter.

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

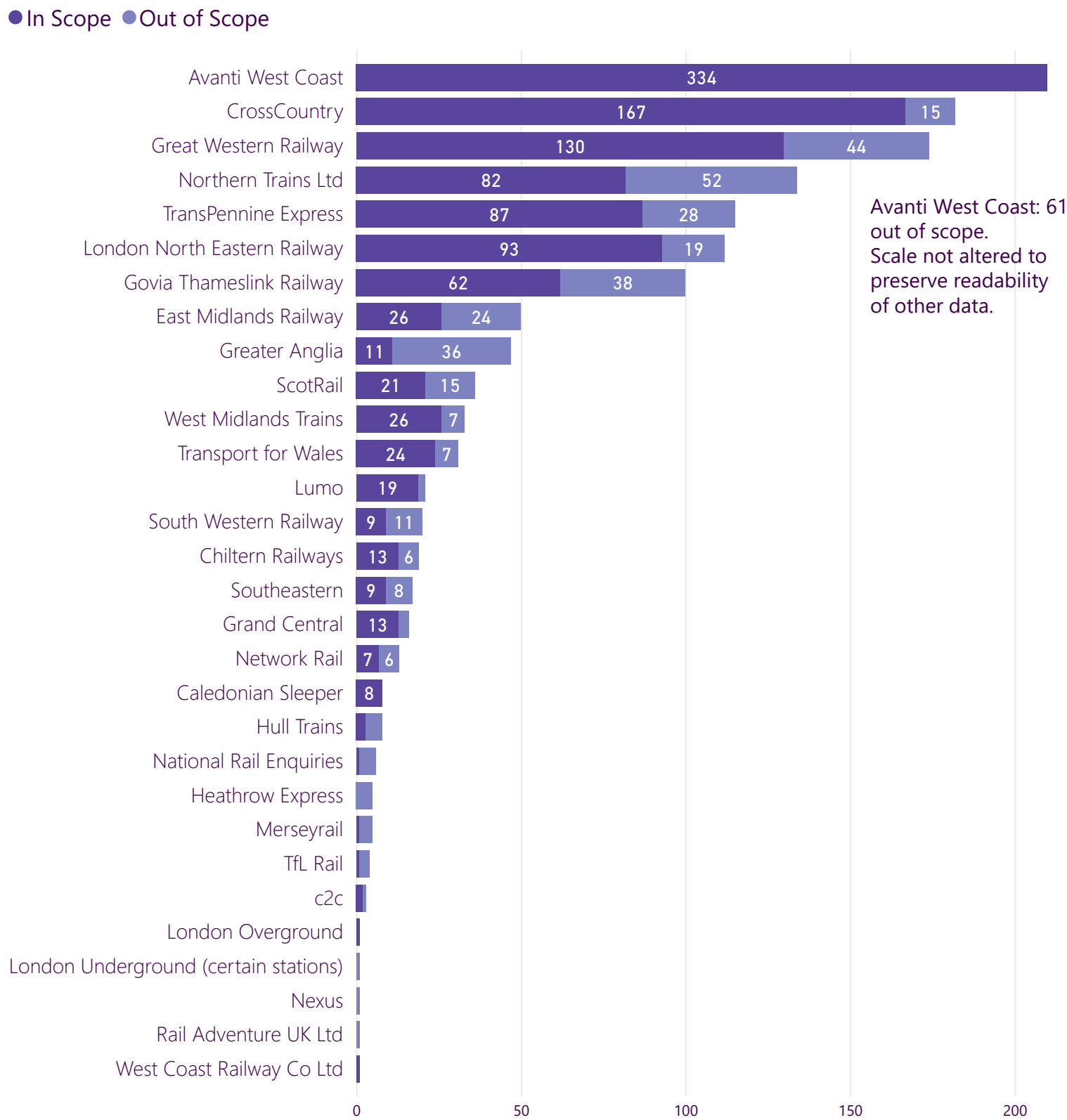


Total referred to the Rail Ombudsman in Quarter 3: 1574

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.

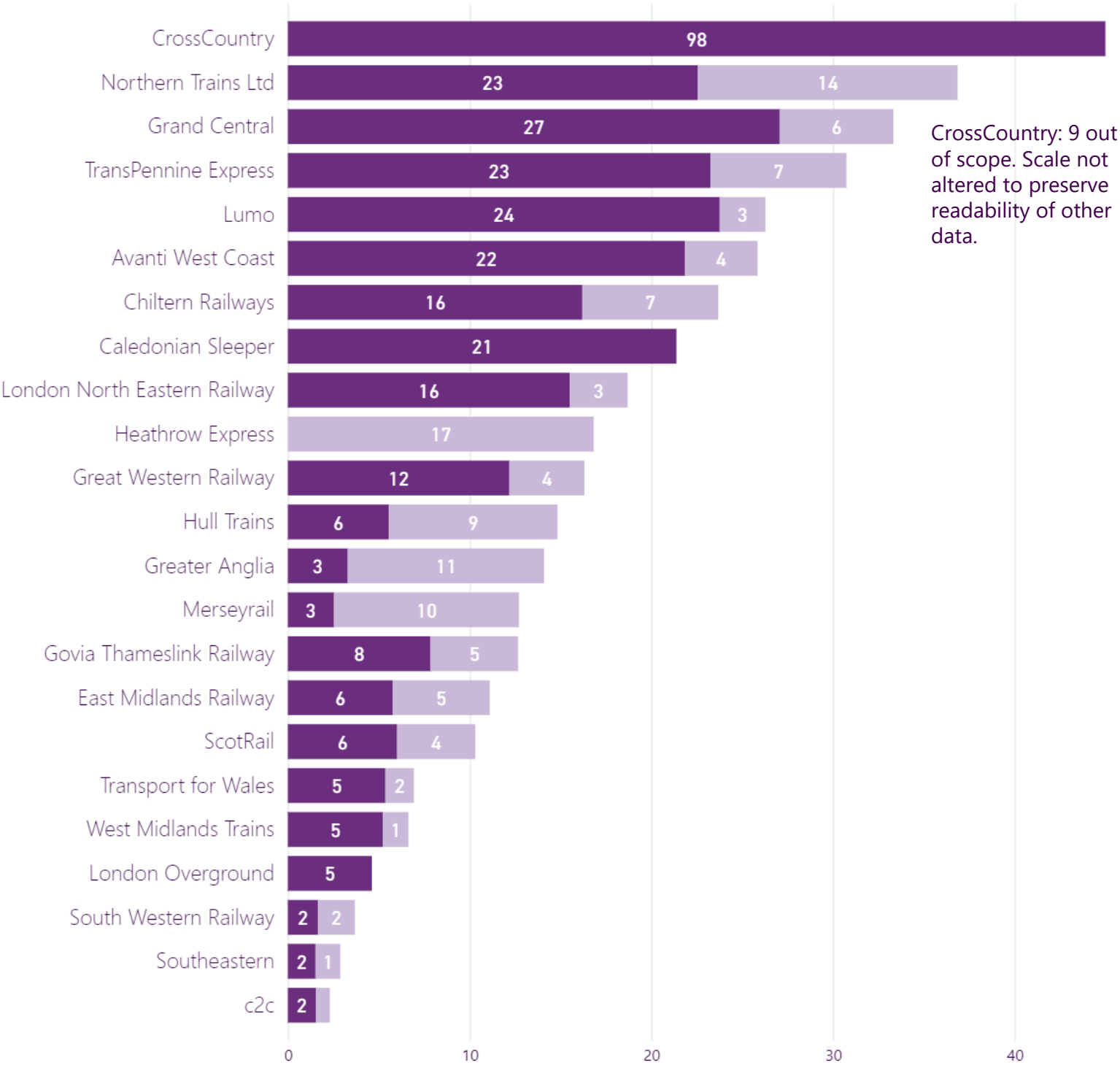
## 2. Complaint volume by Participating Rail Operating Company

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



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

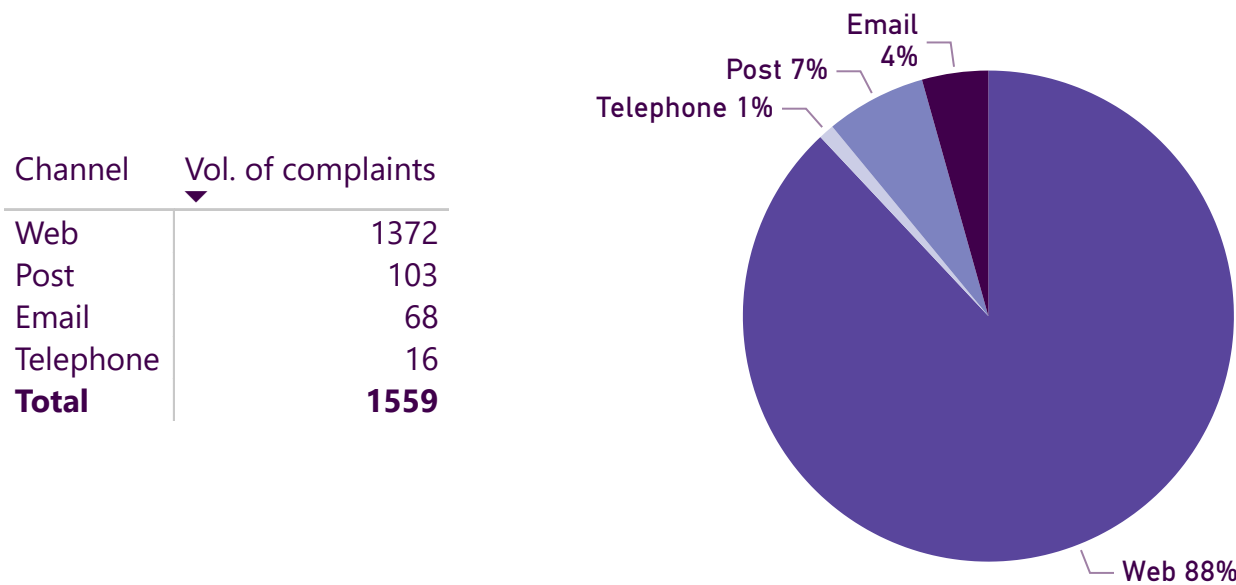
Volume of complaints assessed during Quarter 3 by Participating Rail Operating Company, normalised by Rail Operator complaints (scaled by 1000s for ease of reading).



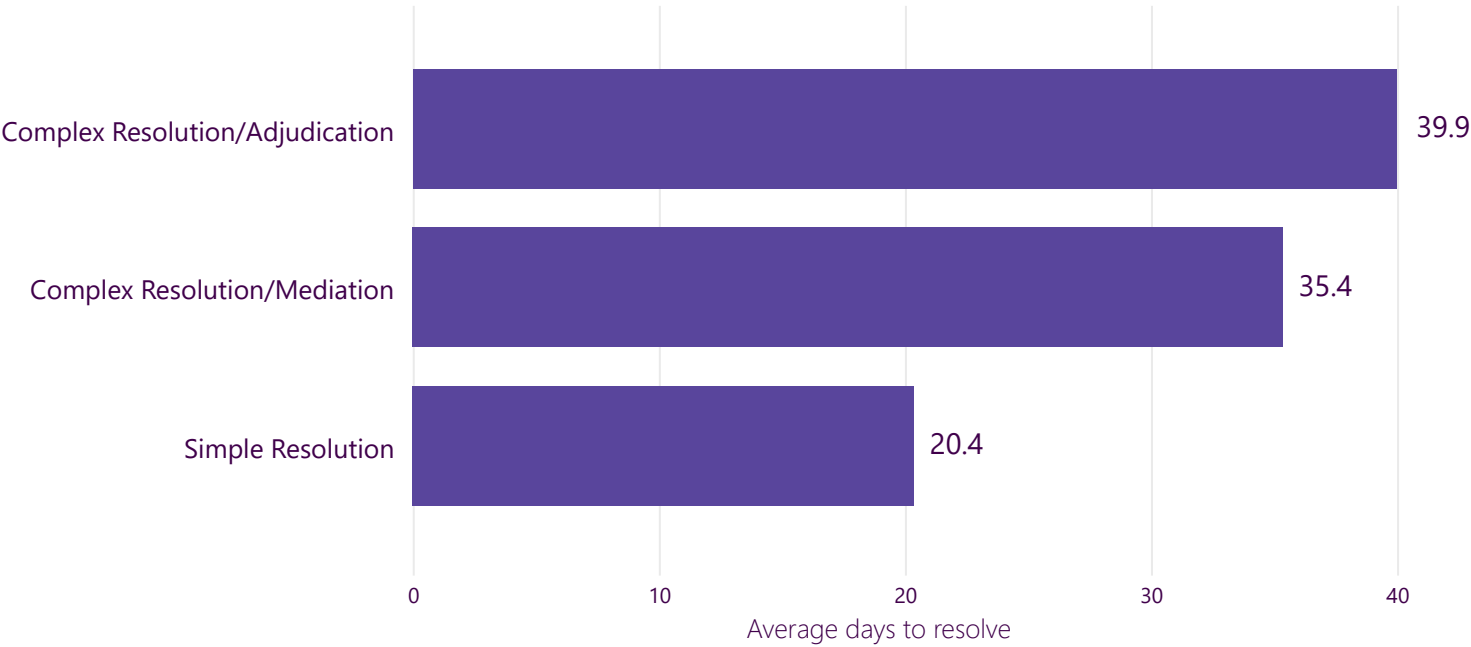
(Rail Operators' complaint volumes source: ORR)

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).



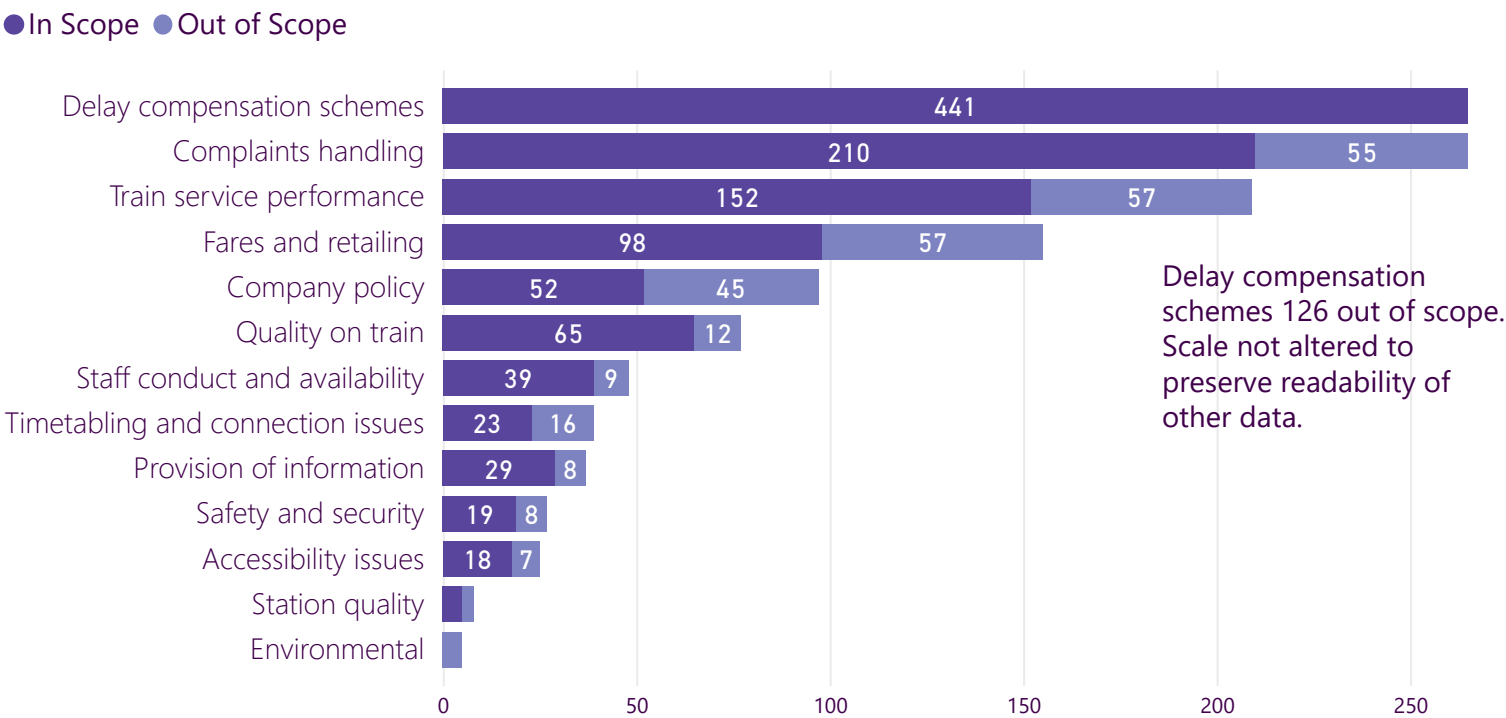
5. Average time to close In Scope complaints in working days



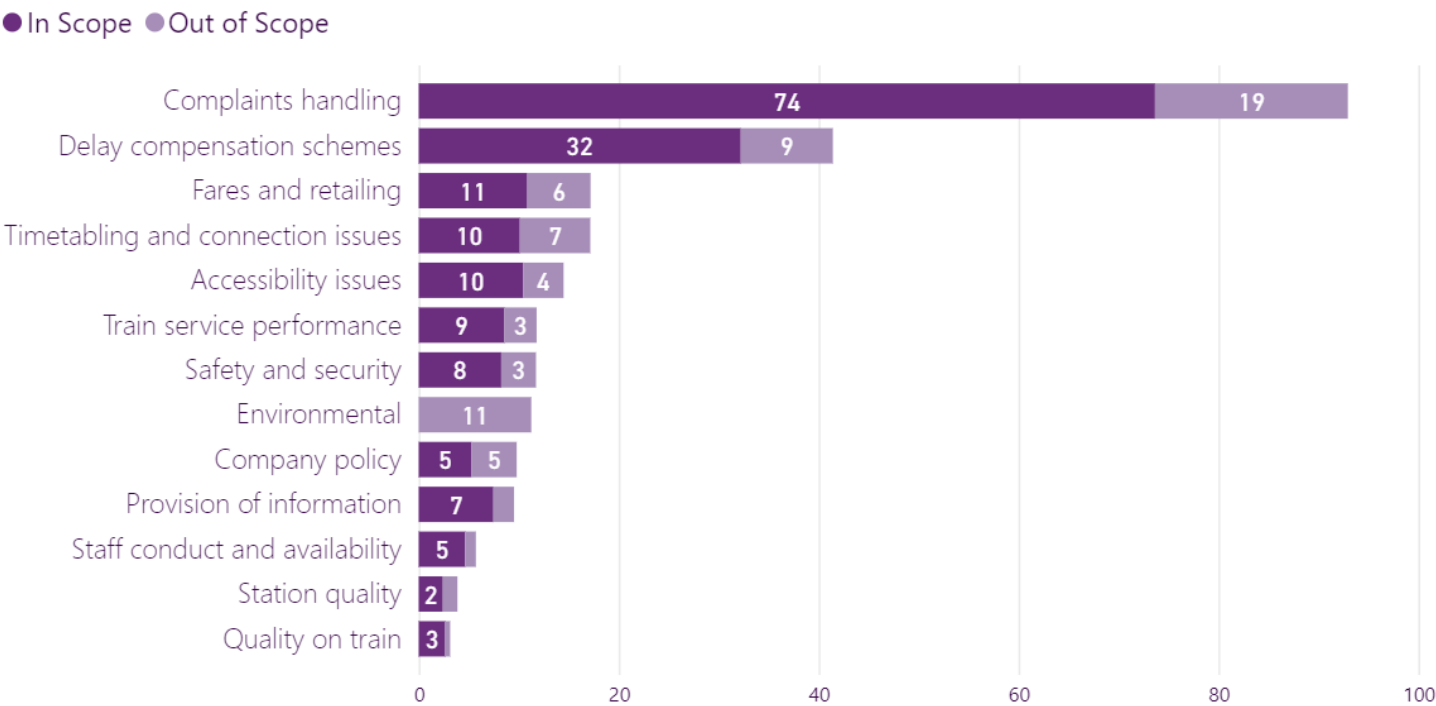
We work to resolve cases within 40 working days. However, extensions may be agreed by all parties in the event of exceptional circumstances or where additional evidence or independant advice is necessary for a decision to be made. One case, extended by way of Reasonable Adjustment under the Equality Act 2010, has been discounted.



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	Booked assistance not provided at station	2
Accessibility issues	Booked assistance not provided on train	2
Accessibility issues	Disabled parking	1
Accessibility issues	Lack of disabled facilities at station/on train	6
Accessibility issues	Lack of information	2
Accessibility issues	Other	6
Accessibility issues	Participating Rail Operating Company accessibility policy	1
Accessibility issues	The ease of being able to get on and off	3
Accessibility issues	Wheelchair space on train	1
Company policy	Onboard policy	2
Company policy	Other	15
Company policy	Ticketing and refunds policy	80
Complaints handling	Complaint not received	4
Complaints handling	Complaints not fully addressed/fulfilled by Participating Rail Operating Company	139
Complaints handling	No response from Participating Rail Operating Company	54
Complaints handling	Other	19
Complaints handling	Response time	7
Complaints handling	Staff member was impolite/unhelpful	3
Complaints handling	Unhappy at type/level of compensation	39
Delay compensation schemes	Compensation claim rejected	231
Delay compensation schemes	Compensation claims process	97
Delay compensation schemes	Level of compensation	41
Delay compensation schemes	Other	51
Delay compensation schemes	Participating Rail Operating Company processing error	14
Delay compensation schemes	Speed of response	133
Environmental	Noise pollution	2
Environmental	Other	1
Environmental	Overgrown vegetation	2
Fares and retailing	Other	113
Fares and retailing	Smartcards	3
Fares and retailing	Ticket buying facilities	16
Fares and retailing	Value for money of ticket price	23

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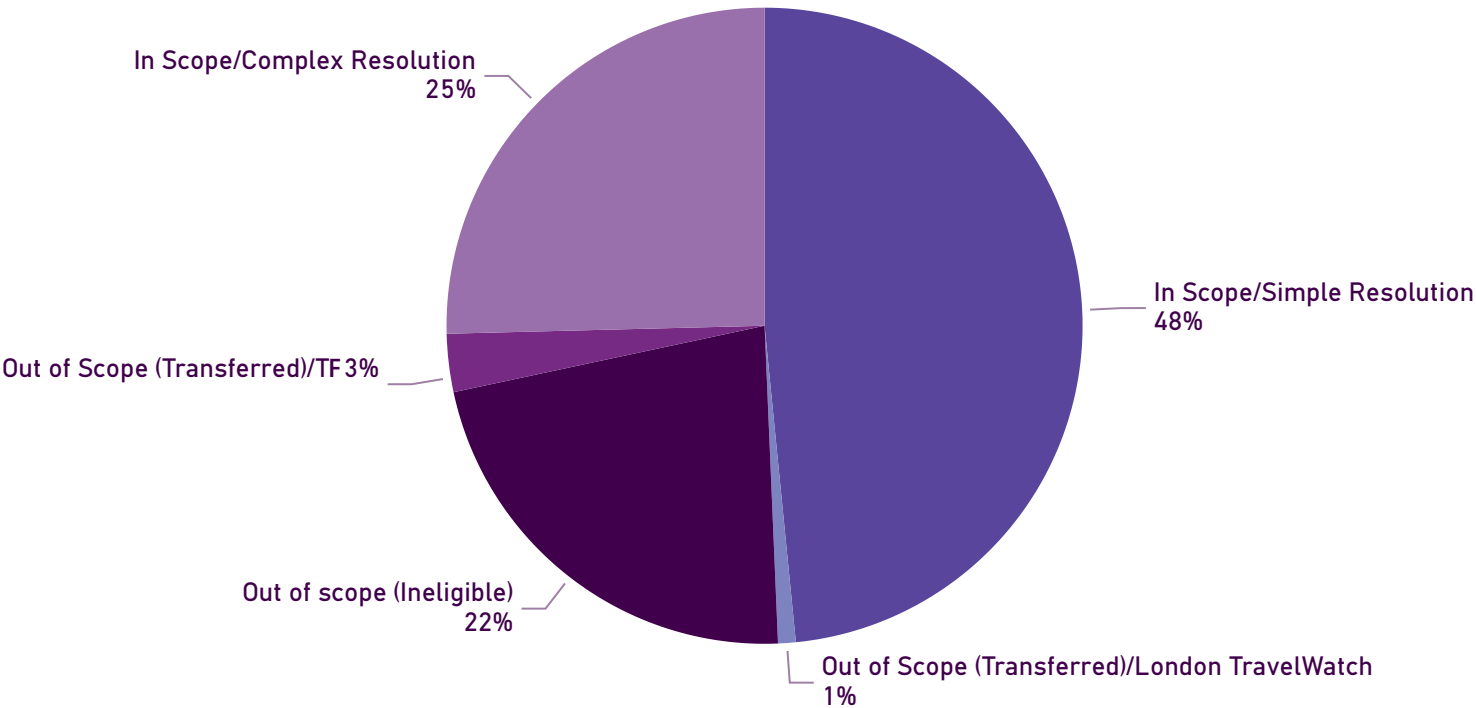
Top level category	Second level category	Vol. of complaints
Provision of information	Other	11
Provision of information	Provision of information about train times/platforms	20
Provision of information	Provision of information on website or mobile apps	2
Provision of information	The provision of information during the journey	4
Quality on train	Cleanliness of train	2
Quality on train	Facilities onboard	23
Quality on train	Other	11
Quality on train	Sufficient room for all passengers to sit/stand	35
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	2
Safety and security	Other	8
Safety and security	Personal security onboard	13
Safety and security	Personal security whilst using station	6
Staff conduct and availability	Other	4
Staff conduct and availability	The attitudes and helpfulness of the staff at station	19
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)	3
Staff conduct and availability	The helpfulness and attitude of staff on train	20
Station quality	Facilities for car parking	1
Station quality	Other	1
Station quality	The availability of seating	2
Station quality	The facilities and services	2
Station quality	The provision of shelter facilities	1
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	14
Timetabling and connection issues	Routing	3
Timetabling and connection issues	The frequency of the trains on that route	3
Timetabling and connection issues	Timetabling	8
Train service performance	Other	32
Train service performance	Punctuality/reliability (i.e. the train arriving/departing on time)	177

### 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	396
In Scope/Simple Resolution	755
Out of scope (Ineligible)	348
Out of Scope (Transferred)/London TravelWatch	14
Out of Scope (Transferred)/Transport Focus	46
<b>Total</b>	<b>1559</b>

Of the 1559 complaints assessed in Quarter 3, 74% (1,151 complaints) were In Scope, 26% (408) were deemed to be Out of Scope and Ineligible for the scheme (79% of which were due to no deadlock letter provided). 4% (60) were transferred to consumer advocacy bodies. See chart 12 on page 11 for Out of Scope reasons.

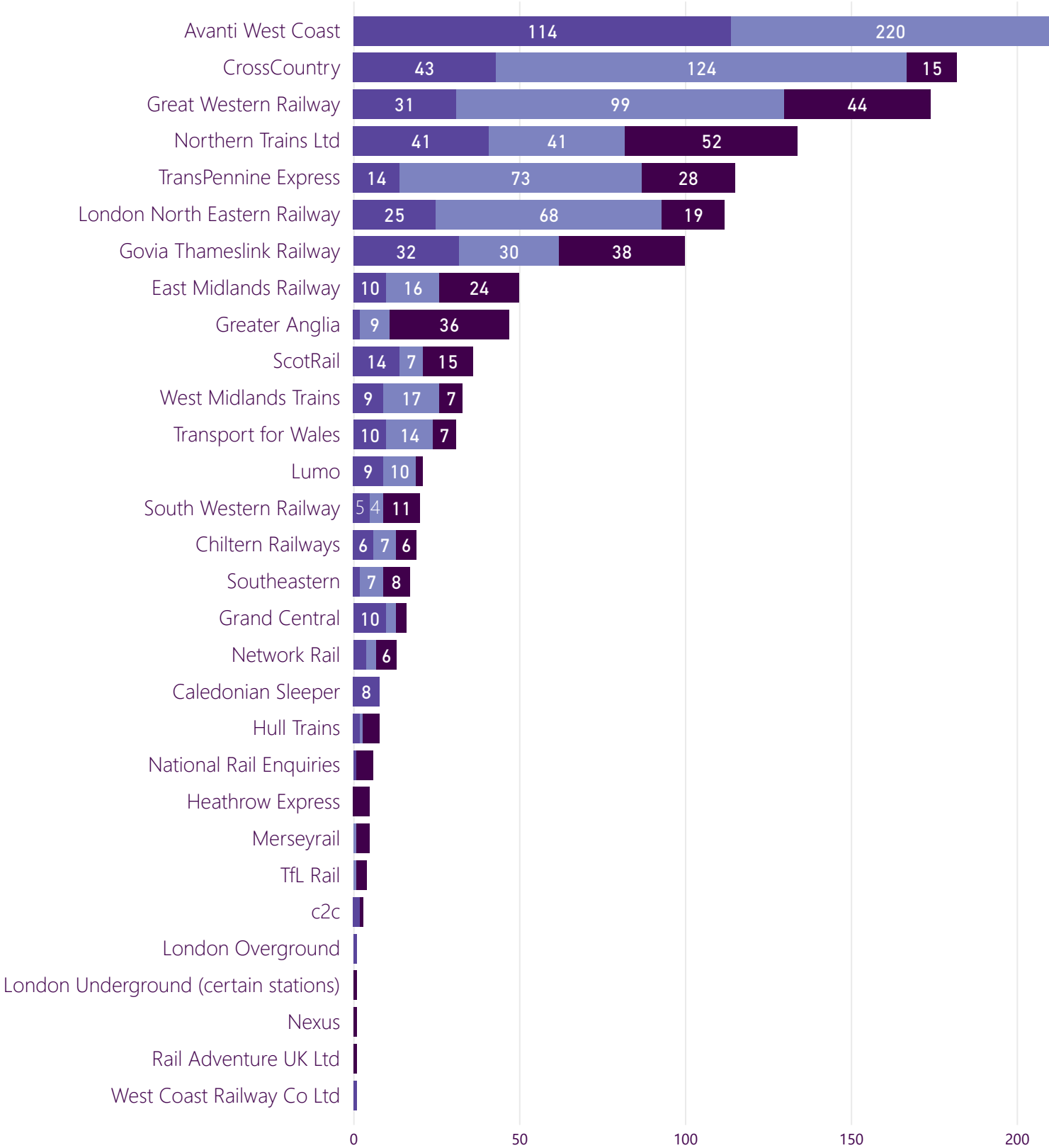


Note: Complaints assessed include complaints carried forward from the previous quarter as well as some of the new complaints referred to the Rail Ombudsman during this quarter.

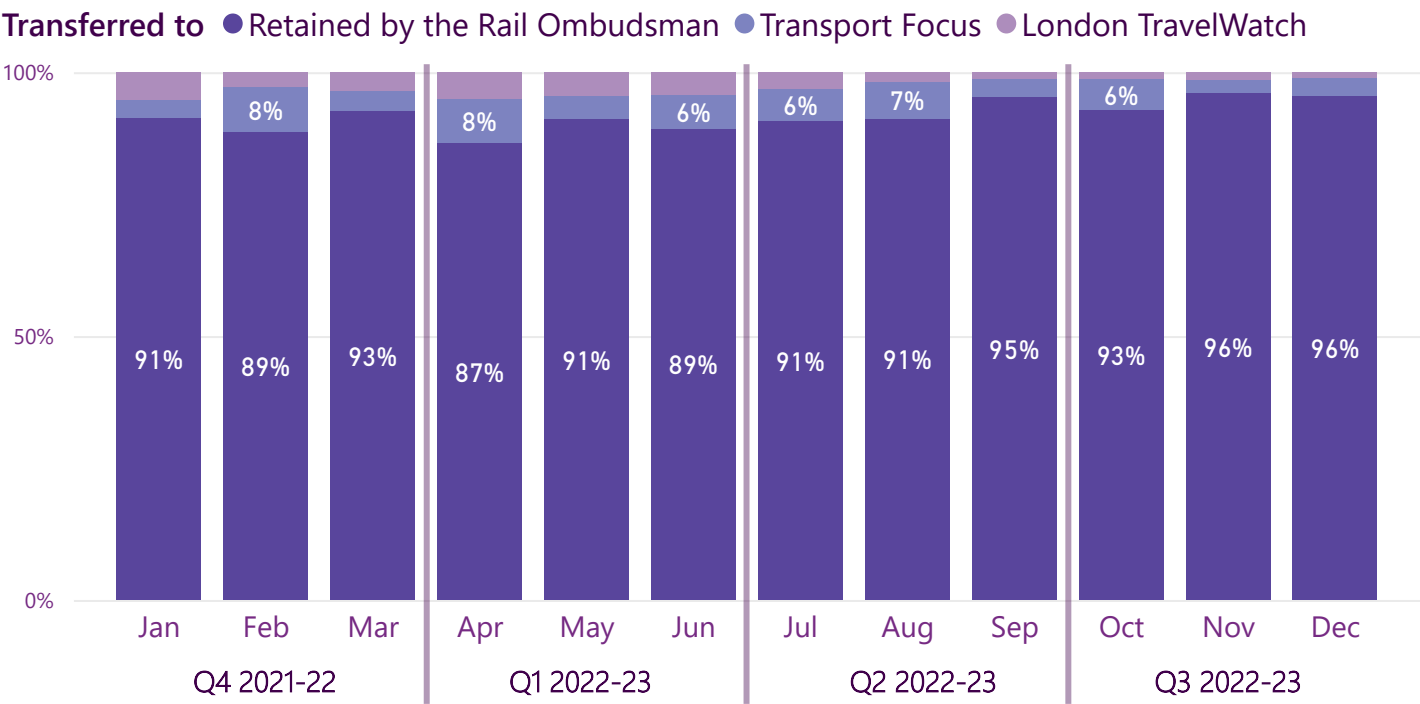
10. Complaint classifications by Participating Rail Operating Company

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



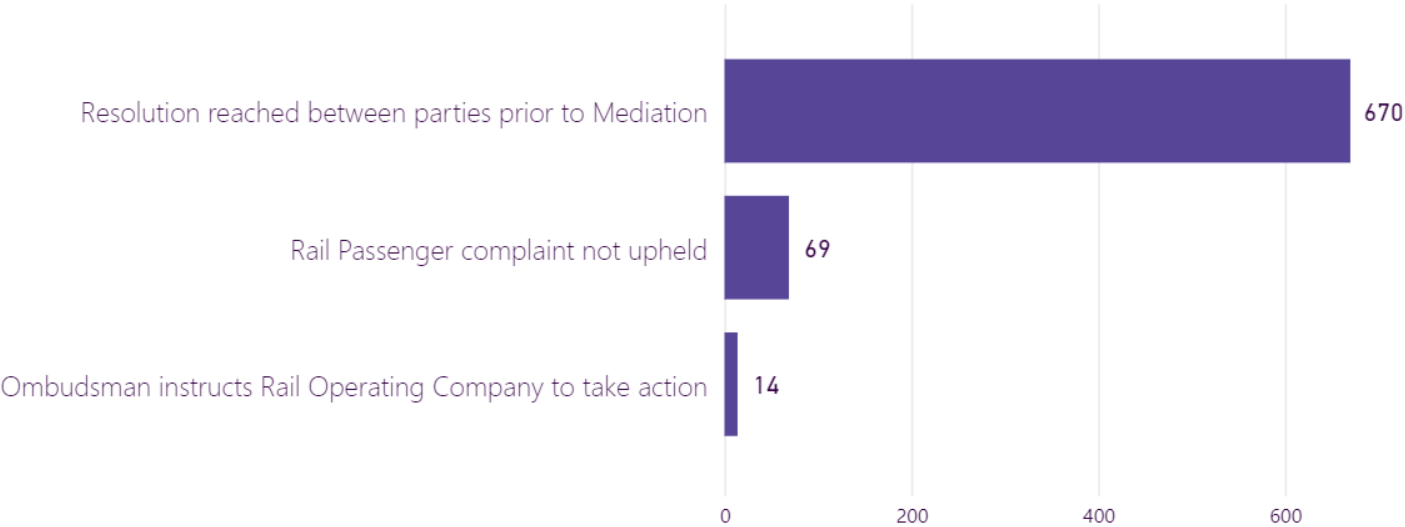
12. Out of Scope categories

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	272	2	274
Action being taken by alternative channel	30	11	41
Policy issues	5	19	24
Penalty fare appeals	1	21	22
Already settled	14		14
Residential or lineside issues	9		9
Consumer withdrew	7		7
Personal injury claim	6		6
Planned service alterations/closures		6	6
Criminal claims	3		3
Campaigns/Petitions	1		1
Incident date prior to Ombudsman launch		1	1
Total	348	60	408

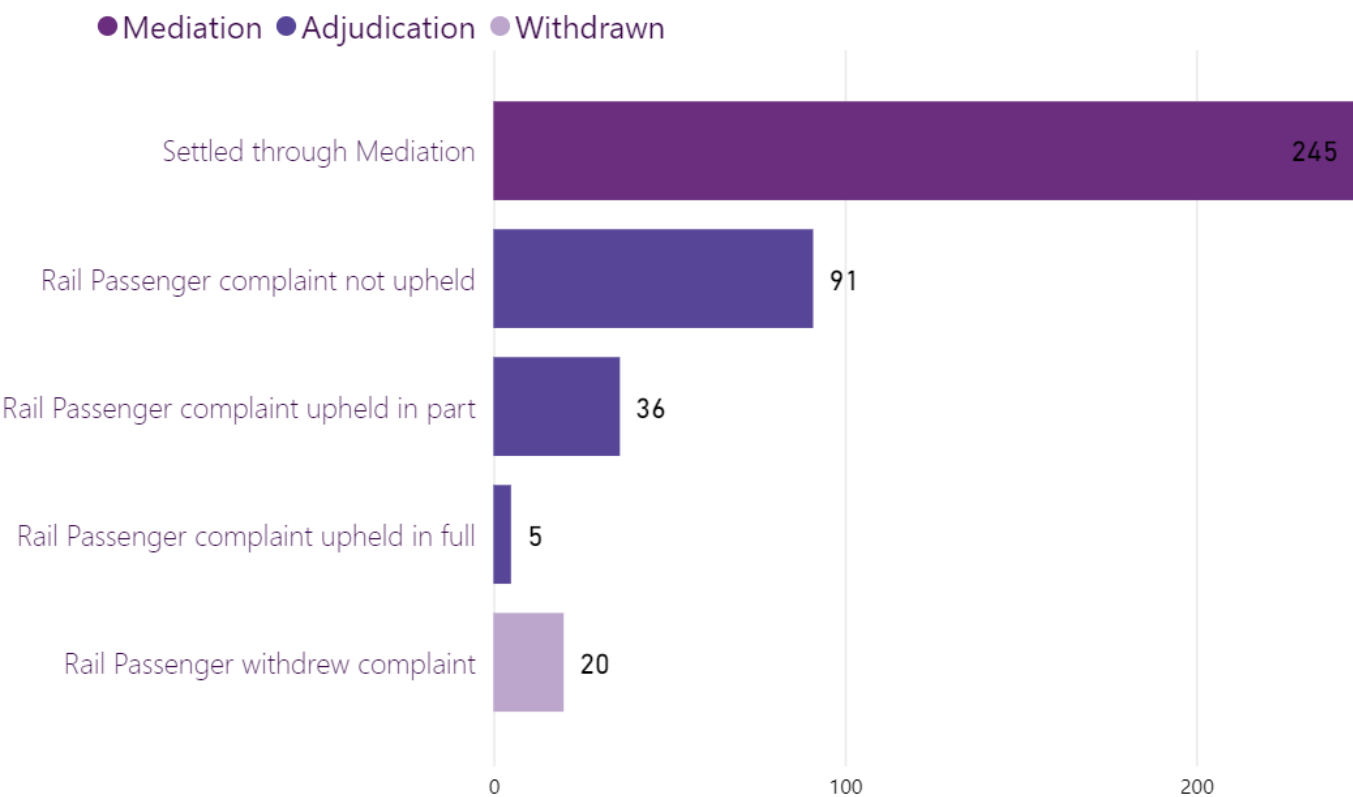
13. Simple Resolution case outcomes

Outcomes of closed Simple Resolution cases.



14. Complex Resolution case outcomes

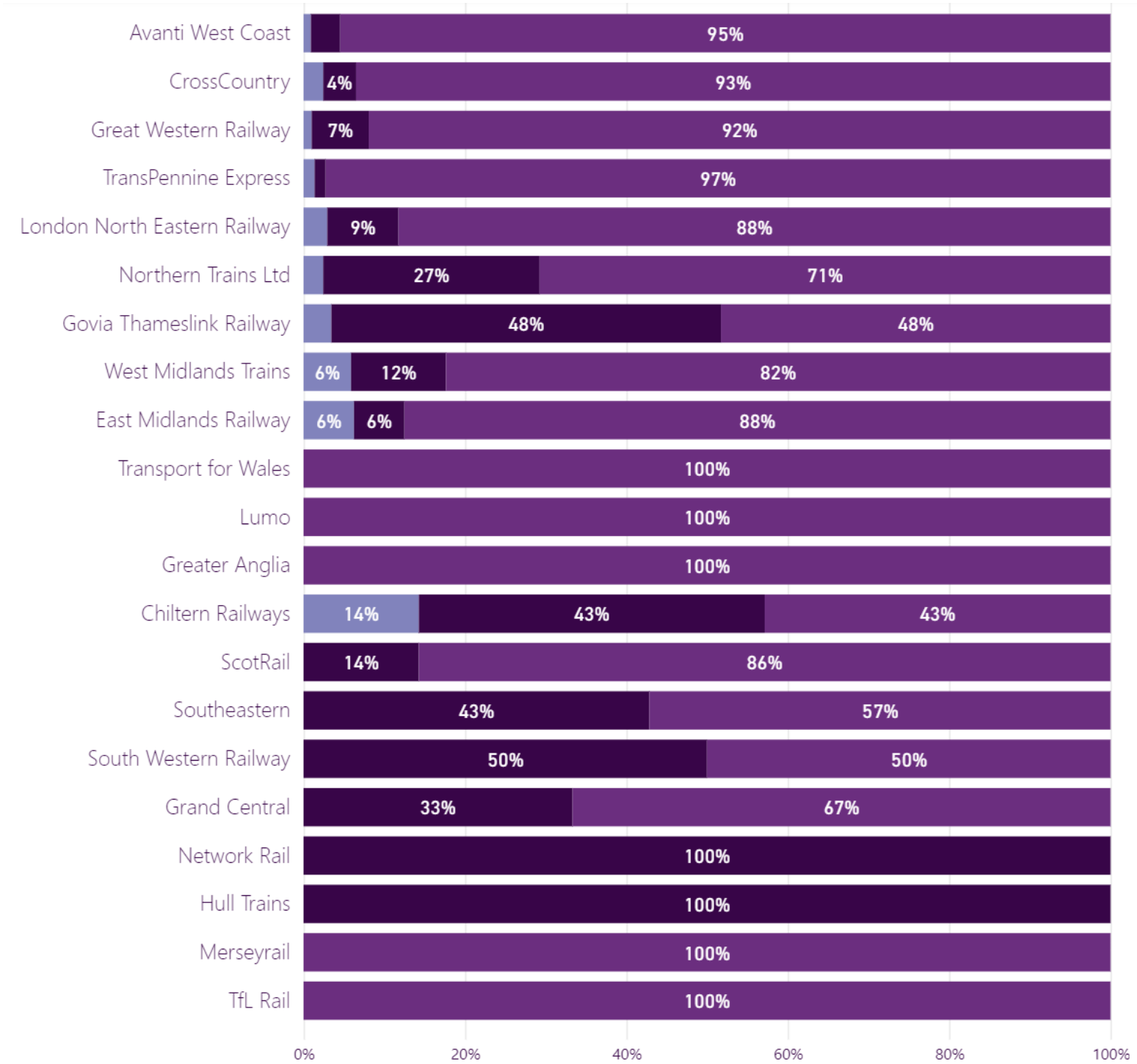
Outcomes of closed Complex Resolution cases.



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

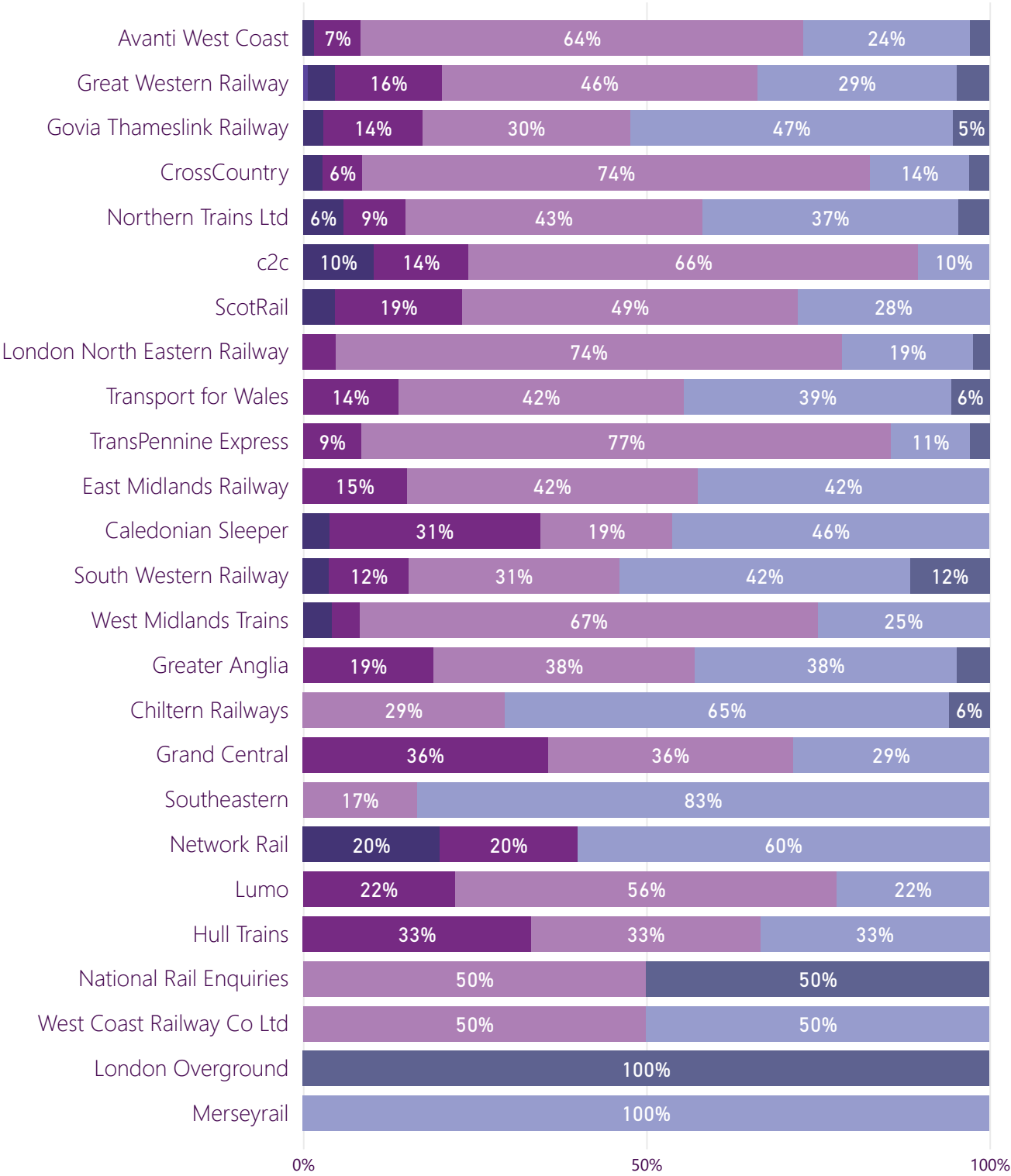




16. Complex Resolution case outcomes, by Participating Rail Operating Company

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

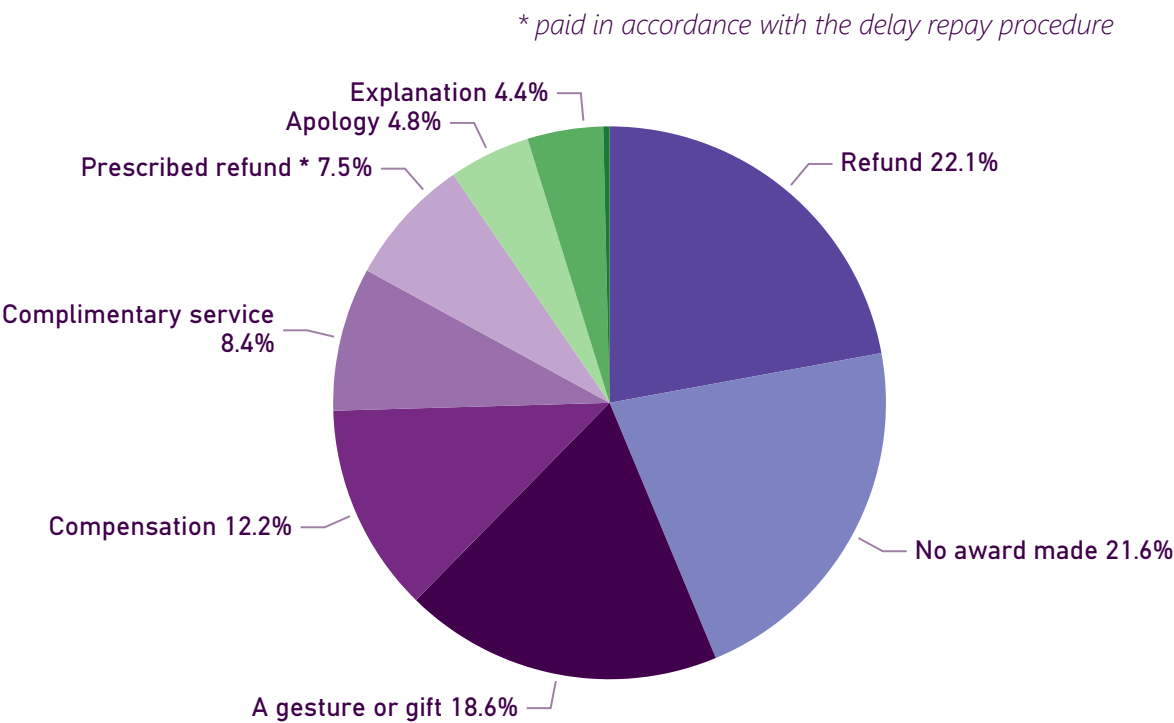
- Rail Passenger complaint upheld in full ● Rail Passenger complaint upheld in part ● Settled through Mediation  
● Rail Passenger complaint not upheld ● Rail Passenger withdrew complaint





17. Resolution types and volume

Award type	No. of awards
A gesture or gift	614
Apology	157
Compensation	402
Complimentary service	277
Explanation	146
Prescribed refund *	247
Refund	729
Ticket reissue	12
Total	2584



*Note: Some closed complaints may have received more than one award type to reach resolution.*

Average financial award  
made  
£94

Largest financial award  
made  
£882

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	61	6	48	72	7	72	54	93	4	417
c2c	1					1				2
Caledonian Sleeper Train			3		1	4				8
Chiltern Railways					2	10		1		13
Cross Country	19	3	53	15	4	19	38	54		205
East Midlands Railway	9	1	5	1	2	7	2	4		31
Govia Thameslink Railway	4		5	5		46		4		64
Grand Central	1		1	3		5	1	2		13
Great Western Railway	57	3	19	5	3	25	10	48	1	171
Greater Anglia	1	1	2			8	1	1		14
Hull Trains		1	2			1				4
London North Eastern Railway	40	2	16	6	5	22	9	42	1	143
London Overground						1				1
Lumo	7		3		1	2	1	12	1	27
Merseyrail	1							1		2
National Rail Enquiries						1				1
Network Rail						7				7
Northern Trains Ltd	12	1	6	5	2	45	6	10		87
ScotRail	1	1	3	1	1	9	2	5		23
South Western	1		2		1	6				10
Southeastern			1			8				9
TfL Rail	1	1						1		3
TransPennine Express	51	2	26	1		5	12	49		146

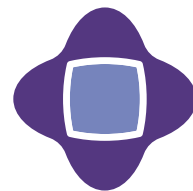
\* paid in accordance with the delay repay procedure

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
▲ Transport for Wales	9	1	4	4	1	5	1	7		32
West Coast Railway Co Ltd	1									1
West Midlands Trains	4		3	6	1	7	2	8		31
Total	281	23	202	124	31	316	139	342	7	1,465

*\* paid in accordance with the delay repay procedure*

# The Rail Ombudsman



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

Dates: 01/10/22 - 31/12/22