



**Reference guide for
ORR Core Data
compliance reporting
For 2020-21**

1.	Changes for 2019-20	3
2.	Introduction	4
3.	What should count as a complaint	5
4.	What should not count as a complaint	7
5.	Summary of how to record a complaint	9
6.	Section B: Complaint correspondence	10
7.	Section A: Complaints by complaint category	23
8.	Section C: Alternative accessible transport (AAT) volumes and expenditure	27
9.	Section D: Assisted journeys	29
10.	Section E: Measuring continuous improvement in complaint handling	32
11.	Section F: Staff who have received relevant disability awareness training or disability equality training	34
12.	Section G: Ticket Vending Machines data	36
13.	Section H: Delay compensation claims	39
14.	Section I: Claims for redress following booked assistance failure	43
15.	Sending the data to ORR	45
	Annex A – Final core data indicators for 2019-20	46
	Annex B: Periodic quality assurance checks	51

Table of figures

FIGURE 1: HOW TO RECORD A COMPLAINT FLOW DIAGRAM.....	9
FIGURE 2: EXAMPLE OF HOW TO RECORD COMPLAINT VOLUMES.....	11
FIGURE 3: HOW TO RECORD COMPLAINT CORRESPONDENCE IN SECTION B.....	12
FIGURE 4: EXAMPLE OF HOW TO RECORD RESPONSE TIMES OF A COMPLAINT.....	14
FIGURE 5: HOW TO RECORD COMPLAINT RESPONSE TIMES WHEN WAITING FOR THE COMPLAINANT TO RESPOND	16
FIGURE 6: AN EXAMPLE OF HOW TO RECORD COMPLAINTS RECEIVED	18
FIGURE 7: EXAMPLE OF A COMPLAINT RE-OPENED	20
FIGURE 8: AN EXAMPLE OF HOW TO RECORD RE-OPENED COMPLAINTS	20
FIGURE 9: EXAMPLE OF REFERRING TO THE OMBUDSMAN.....	22
FIGURE 10: EXAMPLE OF A LETTER COMPLAINT RECORDED IN SECTION A.....	23
FIGURE 11: HOW TO CLASSIFY COMPLAINT COMEBACKS IN SECTION A	24
FIGURE 12: HOW TO RECORD PRAISE IN SECTION.....	26
FIGURE 13: VOLUME OF CLAIMS RECEIVED REPORTING EXAMPLE	39
FIGURE 14: HOW TO RECORD RESPONSE TIMES FOR DELAY COMPENSATION CLAIMS.....	41
FIGURE 15: HOW TO RECORD RESPONSE TIMES WHEN REQUESTING FURTHER INFORMATION FROM THE CLAIMANT.....	41

1. Changes for 2020-21

This section summarises changes to the 2020-21 guidance compared to the previous year:

1. Section C: Alternative Accessible Transport:

A new category on rail replacement services (metric C) has been added within the Alternative Accessible Transport (AAT) section.

Metric	P1	P2	P3
Alternative accessible transport (AAT) - pre booked taxi volumes: TOTAL	0	0	0
a) station inaccessible			
b) unmanned station			
c) rail replacement service			
d) other e.g. disruption			
Expenditure for all AAT - <i>pre-booked and unbooked (optional)</i> (£)			

2. Introduction

Purpose of the document

This guidance has been produced to support train operating companies ('Operators') and other licence holders in gathering and reporting on their compliance Core Data¹ to ORR.

This reference guide focuses on the technical aspects of the data collection and submission.

Publication of statistics

ORR publishes quarterly complaint statistics on the [ORR data portal](#) and in a quarterly statistical release [Passenger Rail Service Complaints](#). Data on delay compensation claims are published quarterly on our data portal.

ORR announces the [publication dates](#) 12 months in advance. *Passenger Rail Service Complaints* has been assessed by the [UK Statistics Authority](#) as fully compliant with the Code of Practice for Official Statistics and therefore designated as 'National Statistics'.

A selection of the Core Data provided to us will be used in ORR's [Measuring Up – Annual rail consumer report](#). The purpose of the Measuring Up report is to inform industry stakeholders of licence holders' (e.g. Network Rail and train operators) performance in key passenger areas.

Questions or feedback

For any questions or feedback please email rail.stats@orr.gov.uk. ORR are also happy to visit your organisation to answer any questions you may have, whilst giving us a chance to gain a better understanding of your data and processes.

¹ 'Core Data' is the term ORR uses to describe the primary compliance monitoring framework it uses to assess its licensee's compliance with their regulatory obligations in relation to passenger-facing activities.

3. What should count as a complaint

The following section defines what should count as a complaint.

The [complaints handling guidance](#) (section 2.7 to 2.11) defines a complaint as:

2.7 For the purposes of these guidelines a complaint is defined as:

“Any expression of dissatisfaction by a complainant or potential complainant about service delivery or company or industry policy”

The following contact methods for complaints are currently collected in section A and B.

CONTACT METHOD	IN SCOPE
LETTER (INCLUDING COMMENT CARDS)	✓
EMAIL/WEBFORM	✓
TELEPHONE CALL	✓
MEET THE MANAGER	✓
ONLINE FORUMS (INCLUDING LIVE CHAT)	✓

Meet the manager and online forums

ORR recognise that *meet the manager* and online forums generate lots of customer feedback. In order for the feedback to count as a complaint the feedback should lend itself to investigation e.g. the complainant has expressed dissatisfaction about a specific aspect(s) of service. The licence holder should then assist the complainant in making a formal complaint, which will then be dealt with in accordance with the licence holder’s Complaints Handling Procedures.

Live chat

Live chat is increasingly being used by Operators to interact with passengers. While many of the comments may be classified as general feedback or enquiries, the same approach listed for meet the manager and online forums above should be used to determine if correspondence needs to be escalated as a formal complaint.

If the complaint is recorded directly through the live chat, this should be categorised within online forums contact method within section B.

If the complainant is forwarded to another method to make a complaint (e.g. forwarded a link to a webform), then the complaint should be recorded by the contact method in which the complaint was received.

Telephone complaints

All telephone complaints should be recorded. If a complaint is made without the person leaving their details, this should still be captured as a complaint within sections A and B.

4. What should not count as a complaint

The following criteria should not be counted as a complaint within the ORR report.

CONTACT METHOD	IN SCOPE
ANOTHER TOC'S COMPLAINT	X
DELAY COMPENSATION CLAIMS (NOTE BELOW)	X
FEEDBACK	X
NATIONAL RAIL ENQUIRIES (NRES)	X
PRAISE (EXCLUDED FROM SECTION B)	X
SOCIAL MEDIA (NOTE BELOW)	X
TRANSPORT FOCUS/LONDON TRAVELWATCH	X

Another Operator's complaint

Complaints which relate to another Operator² should not be included within the complaint statistics. A complaint about a specific train, staff member, ticket office or station shall be owned by the licence holder responsible for that train, staff member, ticket office or station. A complaint about a delay will be owned by the licence holder on whose train the passenger was travelling on, or supposed to be travelling on, when the delay occurred (see section 2.13 of the [complaints handling procedure guidance](#)).

Delay compensation claims

Data regarding delay compensation claims (e.g. Delay Repay) should be recorded in section H and not be included in the complaints data. A standard delay compensation claim is not a complaint.

However, **complaints** about these delay compensation schemes or claims **should** be included in the complaints data and there are specific categories within section A (see section 8 for more detail) to capture this.

Feedback

Feedback can take the form of comments which are neutral, positive or negative. Feedback comments should not be included unless they are classified as a complaint. Operators should have mechanisms by which such communication can be identified and dealt with appropriately. These mechanisms will be detailed in the Operator's complaints handling procedure (see section 2.9 – 2.10 of the [complaints handling procedure guidance](#)).

² In the industry these are often referred to as 'OTOC complaints'.

National Rail Enquiries Service (NRES)

Complaints about NRES should not be recorded within the ORR complaints data. Such complaints should be referred to National Rail Enquiries.

Praise (in section B)

Correspondence exclusively containing praise comments should not be included within section B. This is because section B is used to calculate an Operators' complaints rate³. If praise is included in section B it will inflate the complaints rate for the TOC and give a false representation of the number of complaints received.

However, praise should be included within section A. This includes praise included within complaint correspondence, or separate praise received by the complainant service team through contact methods listed in section B (see [section 6](#) for further details).

Social media

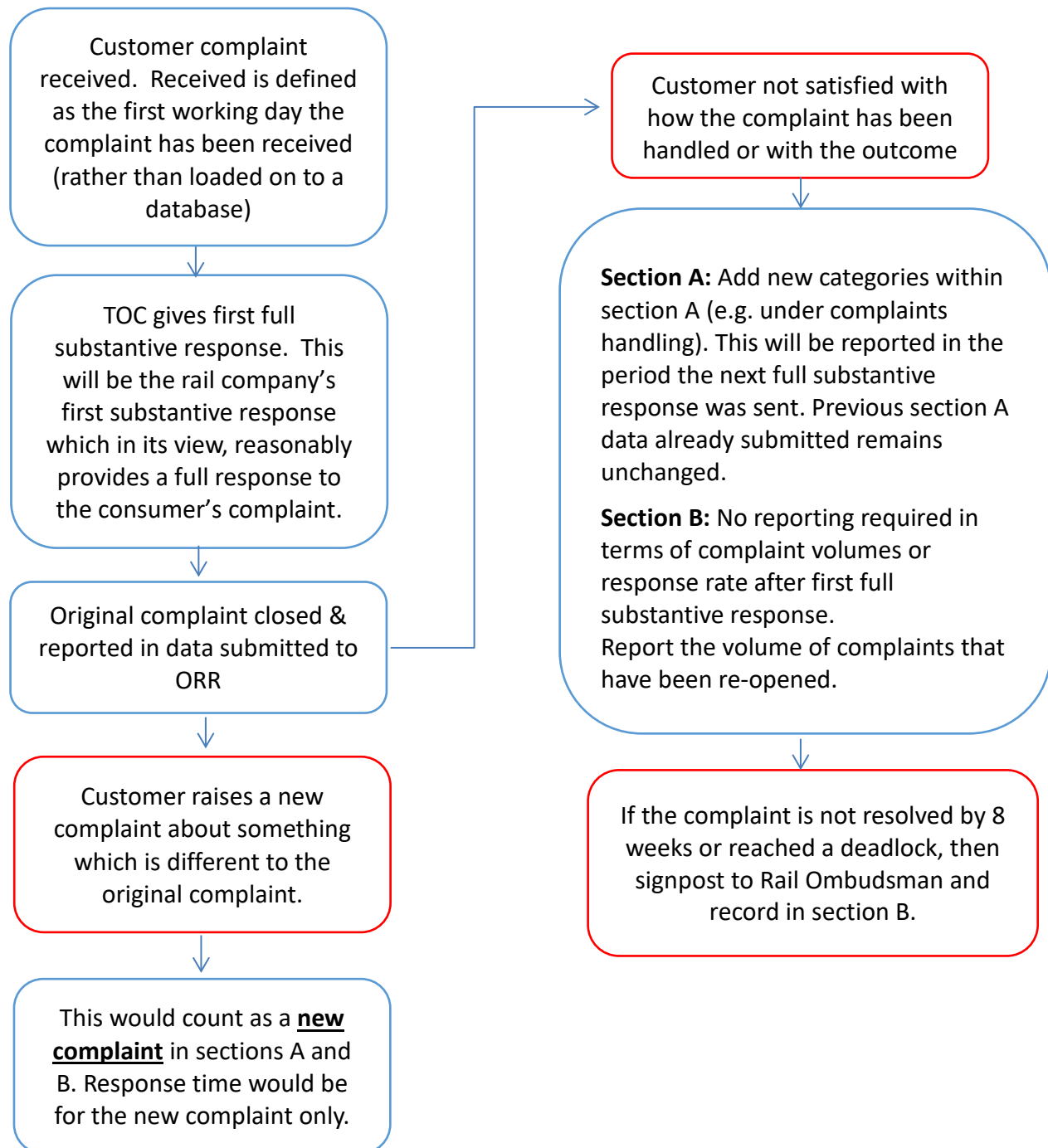
Comments received through social media should not be included in the complaints data. However, there may be circumstances in which the feedback on social media lends itself to further investigation. The licence holder should assist the complainant in making a formal complaint which will then be dealt with in accordance with the licence holder's Complaints Handling Procedures (CHP). For example, this may involve signposting the complainant to a webform or providing an email address at which they can log formal complaints. This complaint will then be in scope to be included within section B, and should be added to the category in which the formal complaint was received.

³ 'Complaints rate' means the number of complaints per 100,000 journeys received by a TOC.

5. Summary of how to record a complaint

Figure 1: How to record a complaint flow diagram

The following flow diagram gives an overview of how a complaint should be reported. Further guidance on how to report in sections A and B are given in the following sections.



6. Section B: Complaint correspondence

This section summarises how data should be recorded in section B. Section B records the following:

- 6.1 Complaint volumes by contact method.
- 6.2 Response to those complaints closed by the 20 working day requirement, ten days and the Operators own complaints handling target.
- 6.3 Volume of complaints received in the period
- 6.4 Volume of complaints re-opened
- ~~6.5 Second Substantive Responses (volume and those sign-posted to appeal bodies) (removed for 2019-20)~~
- 6.6 Volume of complaints signposted to the Ombudsman

6.1) Volume of complaint correspondence / total number of complaints closed (rows 6-10 and 17)

Metric	Contact method	P1	P2	P3
Number of complaint correspondence	Letter			
	Email/Webform			
	Telephone			
	Meet the Manager			
	Online Forums			
Total number of complaints closed	Total number of complaints closed	0	0	0

Complaints closed

Complaint volumes are based on the number of complaints closed within a period. This includes complaints closed within the period even if they were received in the previous period. Once this data has been submitted to ORR it should remain fixed, with no further changes required.

First full substantive response volumes reported only

Complaint volumes are based on complaints which have had a first full substantive response only. A first full substantive response is defined as:

The rail company's first substantive response which in its view, reasonably provides a full response to the consumer's complaint. This does not include an acknowledgement or holding response.

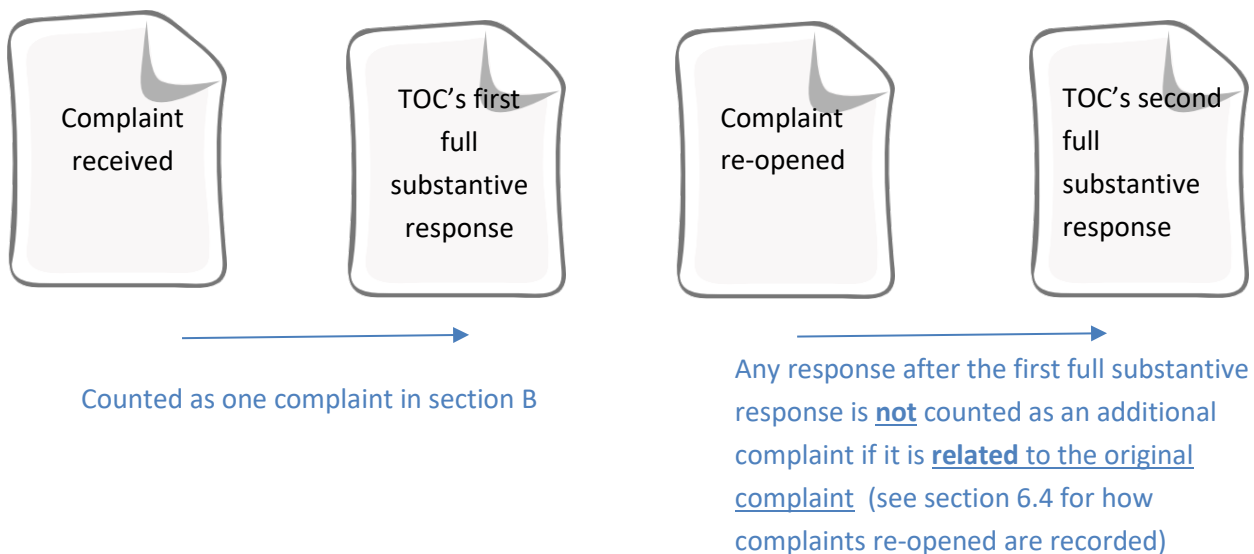
Correspondence following the first full substantive response

If the complainant is not satisfied with how the complaint has been handled or with the outcome and this results in a 'comeback' which leads the Operator to re-open the complaint, this will **not** count as an additional complaint volume for this part of the report (rows 6-10 and 17 in section B). It is only in circumstances where the complainant makes a new complaint (i.e. materially distinct from the original complaint) that it should be categorised as a new complaint in section B⁴.

Section B (rows 6-10 and 17) reporting example

The Operator receives a complaint and makes a first full substantive response. The complaint is then re-opened.

Figure 2: example of how to record complaint volumes



⁴ The following examples are merely intended to provide an instructive illustration about how to interpret the guidance on comebacks: In this example the original complaint was about the attitude of staff at station X. If the Operator has sent a first full substantive response but the passenger then comes back and complains that on a different day staff at station Y were also unhelpful, then this should be recorded as a **new complaint** in section B with the subject of the new complaint also logged in section A. In contrast, the comeback would be considered '**related**' to the original complaint if it was expressing the complainant's dissatisfaction about how long it took for them to receive a response to the original complaint. This would mean the complaint is re-opened but the additional complaint about the response time would only be recorded in section A, with no additions made to section B.

This will be recorded in section B in the following way:

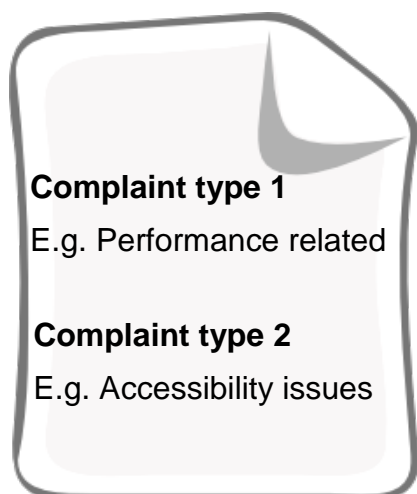
Metric	Contact method	P1
Number of complaint correspondence	Letter	1
	Email/Webform	
	Telephone	
	Meet the Manager	
	Online Forums	

Total number of complaints closed	Total number of complaints closed	1
--	--	----------

Multiple complaint types in one correspondence

If there are multiple complaint types within a single complaint correspondence, this should be recorded once within section B (see figure 3). This is because section B records the number of complaint correspondence closed. See figure 10 for how this should be counted in section A.

Figure 3: how to record complaint correspondence in section B.



This complaint correspondence contains a complaint on both the punctuality of the journey and on accessibility issues. This will be counted as one complaint within section B.

(It will be recorded twice in section A – see figure 10)

The complaint will be recorded in section B in the following way:

Metric	Contact method	P1
Number of complaint correspondence	Letter	1
	Email/Webform	
	Telephone	
	Meet the Manager	
	Online Forums	

Total number of complaints closed	Total number of complaints closed	1
--	--	----------

6.2) Response to complaints by the 20 working day requirement, 10 working day target and the Operator's own complaints handling target (rows 11-16)

Percentage of complaints responded to within complaints handling target	All contact methods (%)			
Complaints handling target - All contact methods	Target (working days)			
Percentage of complaints responded to within 10 working days	All contact methods (%)			
Percentage of complaints responded to within 10 working days	Complaints handling target (10 working days)	10	10	10
Percentage of complaints responded to within 20 working days	All contact methods (%)			
Percentage of complaints responded to within 20 working days	Complaints handling requirement (20 working days)	20	20	20

Response times are based on complaints closed

Response time to complaints are based on those **complaints closed** during the period (as reported in the complaint volumes section - rows 6-10 and 17). For example, if 100 complaints were reported as closed for the number of complaint correspondence section, then the response time calculation would be based on those 100 complaints.

When calculating response times, the complaint received is defined as the first working day the Operator receives the complaint. Please note, this is **not** when the Operator first uploads the complaint to a complaints management system.

First full substantive response times reported only

Response times are based on when the complaint was received by the Operator, to when the Operator issued the first full substantive response to the complaint.

The first full substantive response is defined as:

The rail company's first substantive response which in its view, reasonably provides a full response to the consumer's complaint. This does not include an acknowledgement or holding response.

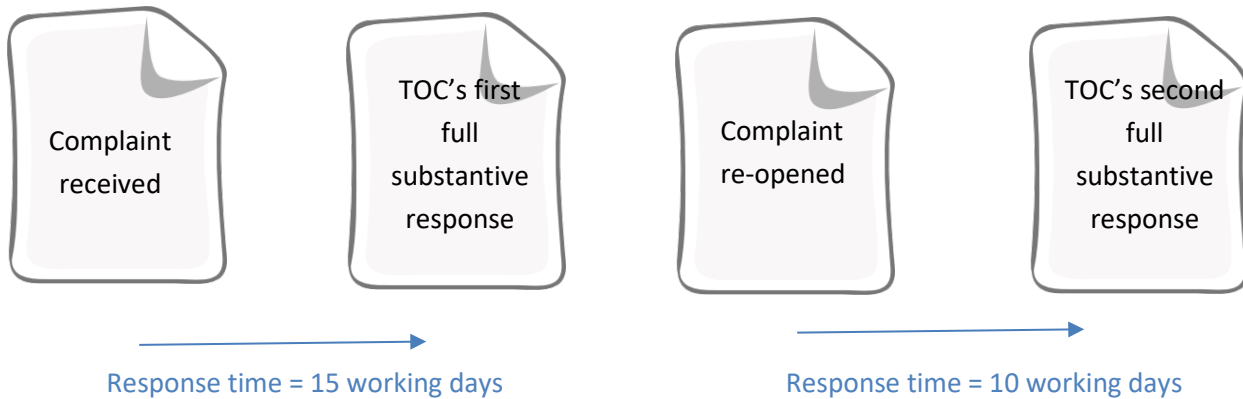
Correspondence following the first full substantive response

Further correspondence with the complainant following the first full substantive response should **not** be counted as part of the response time. Response times to complaints should reflect the first full substantive response only. As noted previously (see footnote 4), if the complainant makes a **new** complaint, then it should be categorised as a new complaint with its own response time.

Section B (rows 11-16) reporting example

The Operator receives a complaint and makes a first full substantive response. The complaint is then re-opened.

Figure 4: example of how to record response times of a complaint



The first full substantive response of 15 days is included only within the response time. The complaint will be recorded in section B in the following way:

Metric	Contact method	P1
Number of complaint correspondence	Letter	1
	Email/Webform	
	Telephone	
	Meet the Manager	
	Online Forums	
Percentage of complaints responded to within complaints handling target	All contact methods (%)	0.00%
Complaints handling target - All contact methods	Target (working days)	5
Percentage of complaints responded to within 10 working days	All contact methods (%)	0.00%
Percentage of complaints responded to within 10 working days	Complaints handling target (10 working days)	10
Percentage of complaints responded to within 20 working days	All contact methods (%)	100.00%
Percentage of complaints responded to within 20 working days	Complaints handling requirement (20 working days)	20
Total number of complaints closed	Total number of complaints closed	1

DOs and DON'Ts in calculating the response times for figure 4 example:

Guidance on how to record response times	Examples of what <u>not</u> to do
<p>✓</p> <p>Only the first full substantive response is reported.</p> <p>By using the example above, this means only the 15 working day response time is to be reported within section B.</p> <p>✓</p> <p>The received date of a complaint is defined as the first working day the TOC receives the complaint, as opposed to the complaint being uploaded to a complaints management system.</p>	<p>✗</p> <p>Reporting each response time associated with the complaint separately. E.g., one set of response times for 15 working days, and one set of response times for 10 working days.</p> <p>✗</p> <p>Each response timeframe is added together. E.g. recording this as 15 working days + 10 working days = 25 working days logged in section B.</p>

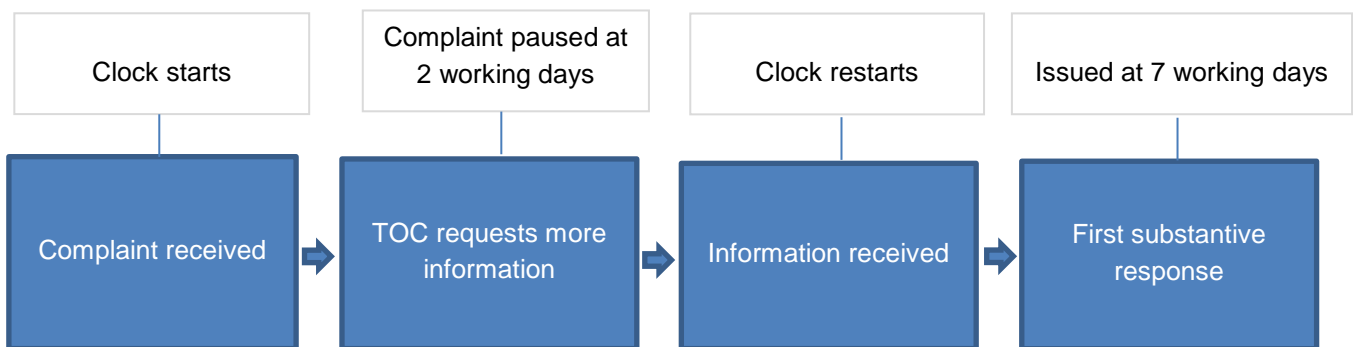
Putting the complaint on hold while waiting for the complainant

The process of putting a complaint on hold while waiting for the complainant to respond, also known as 'stop the clock', was discussed at the January 2019 Core Data workshop. **It was agreed that 'stop the clock' can continue for 2019-20 and 2020-21**, but to be kept under review. ORR will keep Operators up-to-date if 'stop the clock' will be removed for 2021-22.

The complaint response time should be paused if the Operator is waiting for the complainant to reply e.g. to provide the Operator with more information to enable the complaint to be investigated (see figure 5).

If the complainant does not respond then the complaint can be closed at the date when the Operator replied asking for more information. To that end, Operators should therefore make it clear to the complainant the timeframe within which they would expect the complainant to respond by.

Figure 5: how to record complaint response times when waiting for the complainant to respond



Response time is calculated in the following way:

A: From the date the complaint was received to the date the Operator asked for more information required to fully respond to the complaint = 2 working days.

B: From the date the Operator received the requested information from the complainant to replying with the first full substantive response = 5 working days.

Response would be calculated as: A + B

2 + 5 = **7 working days in total**

This would count as one complaint.

Response times are based on working days

The number of days to answer a complaint is to be reported in working days only, and therefore excludes weekends and bank holidays.

Operator’s own complaints handling target (row 12)

The Operator should insert their own complaints handling target into row 12. If the company target changes throughout the year, the Operator should update this row to reflect the change in the target.

Data format for response times

The percentage of complaints responded to should be provided to at least two decimal places.

If the 95% within 20 working days requirement is not met

If the percentage of complaints closed is fewer than 95% within 20 working days, ORR should be informed of the following:

- the reason for the extended response times;
- the expected duration of the emergency timescales;
- the plans in place to remedy the situation;
- the procedures in place to ensure that the quality of responses is maintained; and
- any steps taken to advise affected complainants.

If the failure to meet the 20 working days requirement is due to any large or unexpected increase in complaint volumes, you should inform ORR as to how you will build resilience into recovery plans so that any prolonged period of non-compliance does not re-occur.

Please send your responses to the above with the data submission to rail.stats@orr.gov.uk.

6.3) Volume of complaints received in the period (row 18)

Total number of complaints received	Total number of complaints received			
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Complaints received

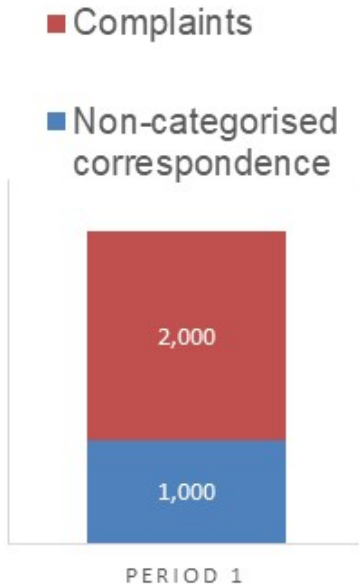
This records the volume of complaints which have been received throughout the period. At the time of reporting, this data may contain other correspondence which has yet to be classified as a complaint, such as general enquiries, praise or re-opened complaints. This data should be revised the next period once the correspondence has been categorised as a complaint.

Please note, the complaint volumes (rows 6-10 and 17) and response times (rows 11-16), are based on complaints closed in a period, and not complaints received.

Complaints received (row 18) reporting example

Figure 6: an example of how to record complaints received

Period one submission:



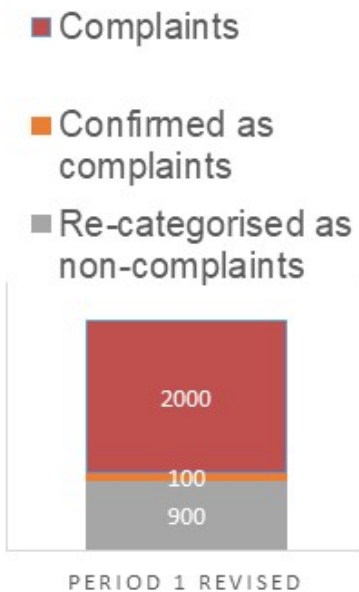
At the time of reporting in period one, 2,000 complaints were received, and a further 1,000 correspondence were received but yet to be categorised.

In period one, 3,000 would be submitted as complaints received.

Contact method	P1	P2	P3
Total number of complaints received	3000		



Period two submission:



When submitting the period two report, the period one figures need to be updated to reflect any update in the correspondence which was previously uncategorised.

1,000 of the uncategorised correspondence from period one is retrospectively adjusted in period two. After the categorisation there were 100 complaints and 900 non-complaints.

The period one complaints received figure should be revised to reflect the 2,100 complaints received.

Contact method	P1	P2	P3
Total number of complaints received	2100	2500	

6.4) Volume of complaints re-opened (row 19)

Volume of complaints re-opened	Complaints re-opened			
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Complaints re-opened

This section records the volume of complaints which have been re-opened within the period. Complaints re-opened are those complaints which have already had a first full substantive response either in that period or a previous one, but the complainant has ‘comeback’ due to not being satisfied with how the complaint has been handled or with its outcome. See footnote 4 on page 11 for an example.

Based on re-opened complaints received within period

Operators should report on re-opened complaints **received** during the period, rather than re-opened complaints closed during the period.

Correspondence yet to be categorised

At the time of reporting, correspondence yet to be categorised should **not** be included in this section. Operators should report on only those complaints that have been classified as re-opened for this indicator, and not include all correspondence.

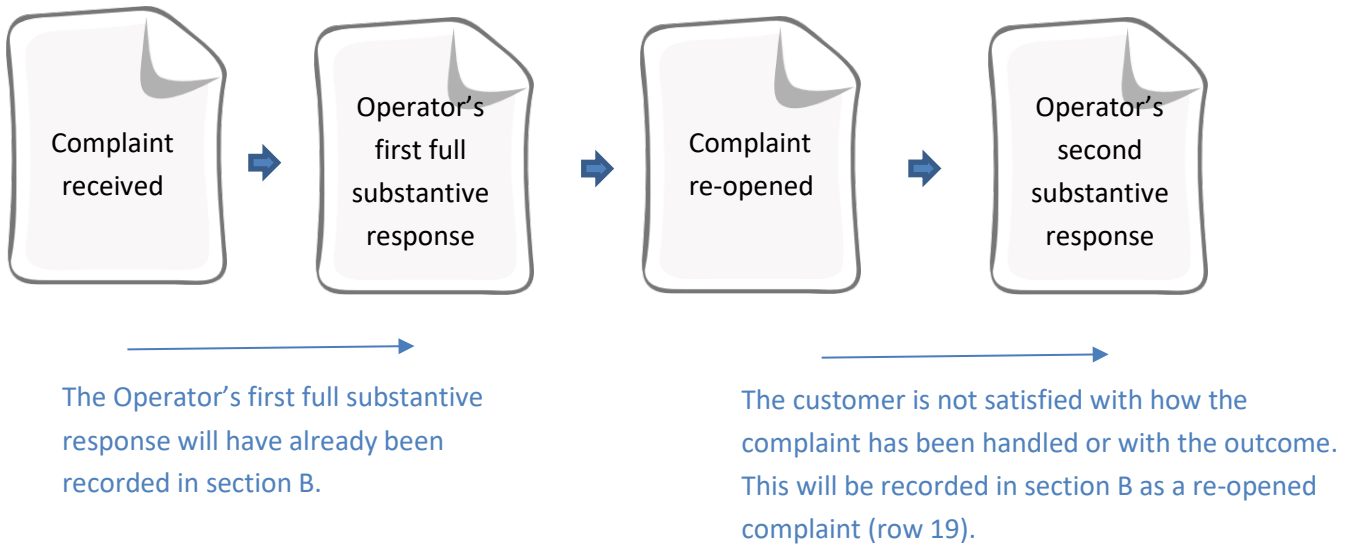
This data may need to be revised retrospectively if Operators subsequently categorise further complaints received in a period as re-opened.

Volumes of complaints closed

The re-opened complaint does **not** count towards the volume of complaint correspondence (rows 6-10 and 17). This is because the complaint correspondence data only records complaints which require a full substantive response, and the re-opened complaint will have previously been recorded in this section.

Volume of complaints re-opened (row 19) reporting example

Figure 7: example of a complaint re-opened



Volume of complaints re-opened	Complaints re-opened	1		
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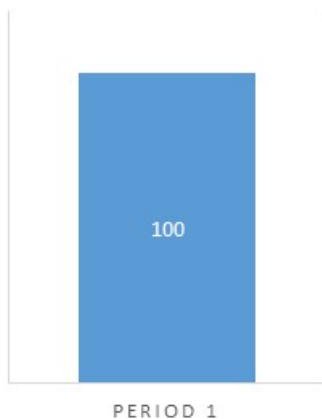
How to re-categorise re-opened complaints (row 19) reporting example

This example shows how re-opened complaints are categorised and subsequently revised the following period.

Figure 8: an example of how to record re-opened complaints

Period one:

■ Re-opened complaints received



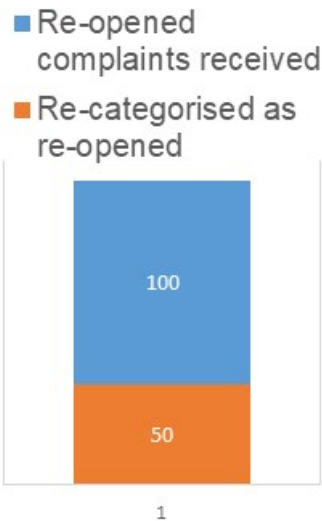
100 re-opened complaints were received in period one.

This excludes those correspondence which were yet to be categorised.

Contact method	P1	P2	P3
Complaints re-opened	100		



Period two:



When submitting the period two report, the period one figures need to be updated to reflect any update to complaints re-opened which was previously uncategorised.

In this example a further 50 complaints were classified as being received in period one which were 'comebacks' of original complaints that needed to be re-opened. The period one figure is updated to show 150.

Contact method	P1	P2
Complaints re-opened	150	280

6.5) Second Substantive Responses (SSR) (volume and those sign-posted to appeals bodies)

DISCONTINUED. This section is no longer reported for 2019-20.

6.6) Volume of complaints sign-posted to the ombudsman (rows 20 and 21)

Volume of complaints sign-posted to the Ombudsman - deadlock letters	Volume of 'deadlock' letters			
Volume of complaints sign-posted to the Ombudsman - 8 week letters	Volume of 8 week letters			

Ombudsman referral

The timeframe for an ombudsman referral should be taken from the date the complaint was received by the Operator. The timescale runs continuously from when the complaint was originally received, and **the Operator should not 'stop the clock'** at any point (i.e. the complaint is not put on hold at any point, including where the complaint has been re-opened⁵).

⁵ 'Complaint received 1/4/18, closed 10/4/18, reopened 17/4/18; the eight week period should be calculated from 1/4/18.

Deadlock letters

These are letters sent to the complainant signposting them to the ombudsman **before it reaches the 8 week stage** where the Operator and complainant cannot agree a resolution to the complaint.

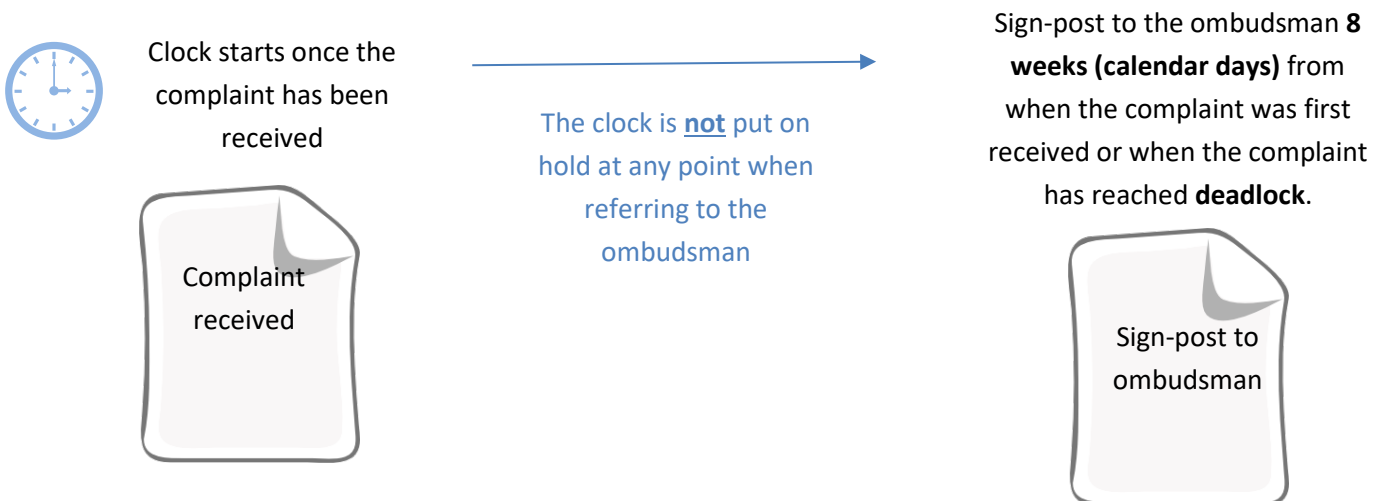
If the complaint reaches deadlock and the deadlock letter issued, it should **not** be counted within the volume of eight week letters as well.

Eight week letters

This refers to the number of letters sent to complainants at the eight week stage (in calendar days from when the complaint was received) signposting them to the ombudsman where a resolution to the complaint has not been achieved.

Ombudsman (rows 22 and 23) reporting example

Figure 9: example of referring to the ombudsman



7. Section A: Complaints by complaint category

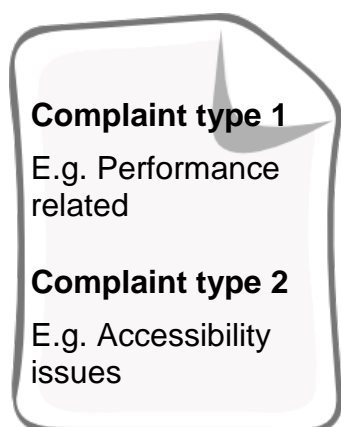
Section A categorises the type of complaints which were closed in section B.

Recording complaint categories

Each cause for a complainant's expression of dissatisfaction (complaint type) within a complaint correspondence should be recorded in section A, as indicated by figure 10 below:

Figure 10: example of a letter complaint recorded in section A

In this example there are two complaint types within a correspondence.



Within section A this will be categorised twice. Once under 'performance', and once under 'accessibility'.

The complaint will be closed when both complaint types are fully responded to with no outstanding actions.

Section A will therefore be completed as below:

Level 1 Category	Level 2 Category	Level 3 Category	P1
All Contact Methods	Accessibility issues	The ease of being able to get on and off	1
All Contact Methods	Train Service Performance	Punctuality/reliability (i.e. the train arriving/departing on time)	1
Complaints total			2

See section 6 (part A) for how to record this complaint within section B.

Complaints that have been re-opened

If the complainant is not satisfied with how the complaint has been handled or with the outcome then the complaint will be re-opened. When the Operator responds with the next substantive response, the complaint type(s) will be categorised in section A in the period the Operator sent the next substantive response.

Please note, the re-opened complaint will **not** count as a complaint volume in section B (see section 6).

Recording re-opened complaints

The following example shows how a complaint should be categorised in section A following the first full substantive response, and then for further substantive responses.

Figure 11: how to classify complaint comebacks in section A

Complaint correspondence 1:

Complaint about lack of space for luggage.

TOC makes first full substantive response.

Complaint closed during period 1.

Complaint received in period 1. TOC gives first full substantive response in period 1.

The complaint will be categorised under the space for luggage category under period 1.

Level 1 Category	Level 2 Category	Level 3 Category	P1	P2
All Contact Methods	Quality on Train	The space for luggage	1	

Complaint re-opened

Complainant not satisfied with level of compensation offered by TOC in its first response

TOC makes another full response.

Second substantive response issued and complaint closed during period 2.

Complainant is unhappy with the response and replies in period 1.

The Operator re-opens the complaint in period 1, and makes a second substantive response in period 2.

The Operator will categorise the re-opened complaint in section A under *unhappy at level of compensation* for period 2.

Level 1 Category	Level 2 Category	Level 3 Category	P1	P2
All Contact Methods	Complaints handling	Unhappy at type/level of compensation		1
All Contact Methods	Quality on Train	The space for luggage	1	

Difference between sections A and B

The number of complaints in Section A will be higher than or equal to section B. This is because each complaint recorded in section B should be classified at least once within section A⁶. There is a validation check in section B which will highlight if section A is lower

⁶ Again, this is because a single complaint correspondence (e.g. a complaint via email) will have one or more issues that the complainant is expressing dissatisfaction with.

than section B. If the validation shows a 'check' note, please ensure all complaints in section B are categorised in section A.

Complaints mapping table

Within the data template there is a complaints mapping table. This gives examples of the type of complaints which may fall under each level 3 category. Where possible please use this as a guide so all Operators are categorising complaints in a consistent manner. If you notice any type of complaint missing please inform us and we can update the mapping table.

Level 2 categories	Level 3 categories	Examples
Accessibility issues	Assistance booking process	Complaints about the assistance booking process e.g. a passenger is dissatisfied with the ease of making a booking, how their booking was handled by the agent, received a booking confirmation with inaccurate information, etc.
	Assistance staff	Complaints about staff related to the provision of assistance to disabled passengers, covers both booked and unbooked assistance or general assistance in and around the station

Praise

Praise should be recorded in section A (but **not** section B). ORR will report the Operators' praise rate quarterly in our Q4 statistical release.

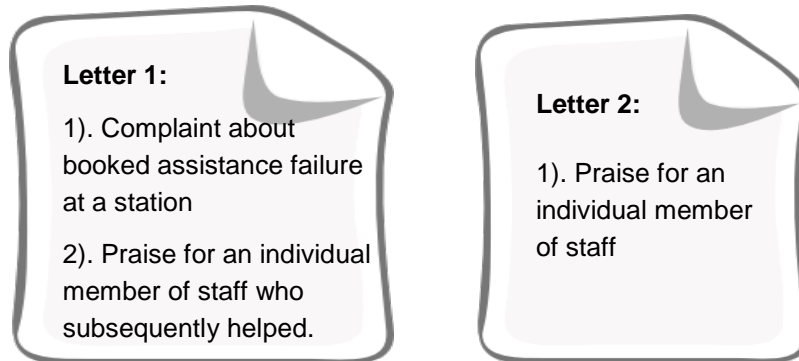
Praise should only be recorded if there is specific satisfaction shown about service delivery, or about company or industry policy. General phrases such “thanks” or acknowledgement or receipt of the Operators reply should not be included.

For example: Praise could include a comment about how a member of staff has gone above and beyond normal duties and there is clear recognition of this within the comment.

Praise in section A (row 78) reporting example

In the example below there are two correspondence from two different passengers. Letter one has a complaint with some praise included, and letter two is praise only.

Figure 12: How to record praise in section



Level 1 Category	Level 2 Category	Level 3 Category	P1
All Contact Methods	Accessibility issues	Booked assistance not provided at station	1
All Contact Methods	Praise	Praise	2
Grand total			3

8. Section C: Alternative accessible transport (AAT) volumes and expenditure

This section records the number of alternative accessible transport (AAT) volumes, and fulfils **ATP indicator 14** (see annex A for more information on indicators).

Rail replacement service (category c) has been added for 2020-21.

Metric	P1	P2	P3
Alternative accessible transport (AAT) - pre booked taxi volumes: TOTAL	0	0	0
a) station inaccessible			
b) unmanned station			
c) rail replacement service			
d) other e.g. disruption			
Expenditure for all AAT - <i>pre-booked and unbooked (optional)</i> (£)			

AAT volumes

This provides the total number of occasions when alternative accessible transport (such as a taxi) has been provided to a passenger. A count of the reasons why AAT was provided should be recorded under categories a-c.

Passengers only

AAT should show passenger journeys only, and exclude any taxis booked for train drivers.

Rail Replacement Service

Rail replacement service (metric c) was introduced for the 2020-21 collection. Operators should record where AAT was used when a disabled passenger could not use a rail replacement service.

Data not available

If the data is not yet available please leave the cells blank, rather than add zeros. Please add to the commentary box to let us know that the data has yet to be completed (e.g. if the data is a period behind the complaints data).

If there are zero's ORR will interpret that there were no AAT's booked. Whereas, if the cells are left blank with comments ORR will know that AAT is in place, but is yet to be recorded.

Commentary

Where the use of AAT falls into category 'd' (other) it would be helpful for Operators to note the reasons for why this occurred within the commentary box. This would help ORR understand the different reasons for AAT provision.

Commentary

Operators can provide commentary on what is driving trends in AAT, in particular, any issues they want ORR to be aware of. For example, if there are specific factors in the operating area that are driving certain trends that other Operators may not be experiencing.

If your data includes pre-booked and unbooked AAT, please inform us within the commentary.

Expenditure for all AAT (optional)

Operators are encouraged to provide this monetary data on all AAT provided if this is available, whether it be pre-booked or unbooked AAT.

Supply of data

ORR are happy to receive this data at the end of the year (with P13) at a periodic level, or Operators can provide this data every period if they wish. If Operators are not providing AAT every period and only at P13, please let us know within the commentary box.

9. Section D: Assisted journeys

This section records the detail on both booked and unbooked assisted journeys. It fulfils **ATP indicator 11** (see annex A for more information on indicators).

Booked assistance

This section explains how to complete the booked assistance section of the data template. It covers booked assistance completions volumes, incomplete booked assistance volumes and reasons for the incomplete assistance.

Type	Metric
Booked	A). Volume of booked assistance (this data is supplied by RDG)
Booked	B). Volume of booked assistance completions
Booked	C). Volume of booked assistance incomplete, and reasons for each incomplete assistance (below)
Booked	i) No space on train
Booked	ii). No staff available
Booked	iii). Disruption
Booked	iv). Passenger did not arrive/ arrived too late for service
Booked	v). Other

A). Volume of booked assistance (this data is supplied by RDG)

This is the number of assists booked through the Passenger Assist system, managed by Rail Delivery Group (RDG).

ORR source this data directly from RDG so there is no need for Operators to submit this data to us.

B). Volume of booked assistance completions

The number of booked assists made via Passenger Assist actually completed by the Operator within the specified period. This is a single figure for the Operator, i.e. an aggregate of all booked assists delivered successfully by the Operator across all its services within the specified period (including both trains services and its managed stations).

C). Volume of booked assistance incomplete, and reasons for each incomplete assistance (below)

If a booked assistance request has been logged in Passenger Assist and not provided to the passenger this must be recorded as an 'incomplete' and the reason for the failure should be categorised as follows:

- i. No space on train
- ii. No staff available
- iii. Disruption
- iv. Passenger did not arrive / arrived too late for service
- v. Other

Unbooked assistance

This section explains how to complete the unbooked (Turn Up and Go) assistance section of the data template.

Unbooked	D). Volume of unbooked assistance (Turn Up and Go) requested
Unbooked	E). Volume of unbooked assistance (Turn Up and Go) completed
Unbooked	F). Volume of unbooked assistance (Turn Up and Go) incomplete, and reasons for each incomplete assistance (below)
Unbooked	i) No space on train
Unbooked	ii). No staff available
Unbooked	iii). Disruption
Unbooked	iv). Passenger arrived too late for service
Unbooked	v). Other

D). Volume of unbooked assistance (Turn Up and Go) requested

The volume of unbooked assistance requests received by the Operator from passengers within the specified period. The volume of unbooked assistance should equal the volume completed (item E) plus the volume incomplete (item F).

This is a single figure for the Operator and we do not require this to be reported at station level.

E). Volume of unbooked assistance (Turn Up and Go) completed

The volume of unbooked assists actually carried out by the Operator within the specified period.

This is a single figure for the Operator and we do not require this to be reported at station level.

F). Volume of unbooked assistance (Turn Up and Go) incomplete, and reasons for each incomplete assistance (below)

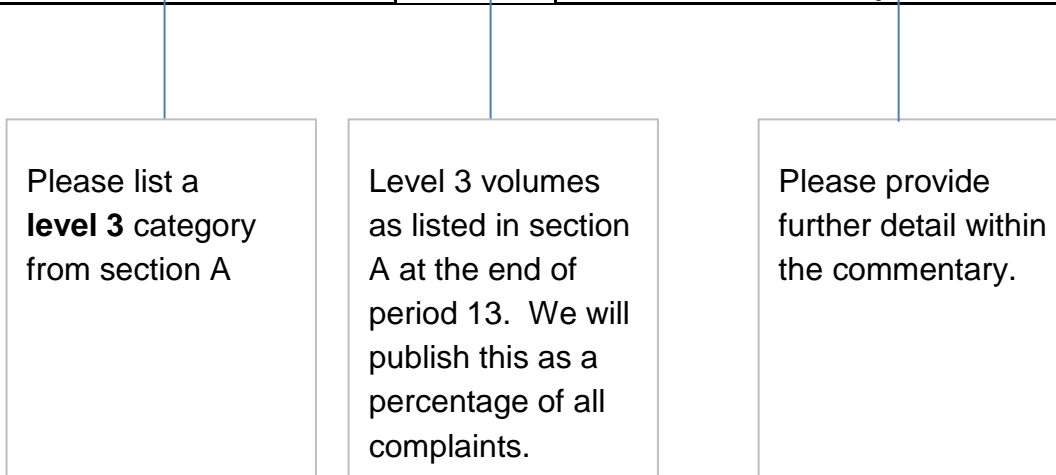
This is the volume of unbooked assists that were requested by passengers but were unable to be fulfilled by the Operator, broken down by the reason for each incomplete assistance as categorised as follows:

- i. No space on train
- ii. No staff available
- iii. Disruption
- iv. Passenger arrived too late for service
- v. Other

10. Section E: Measuring continuous improvement in complaint handling

This section records the top five key areas passengers have complained about, and what the Operator is doing to address those issues. This is an annual submission due with period 13 reporting to ORR and meets **CHP indicator 8** (see annex A for further information).

Complaint category	P1-P13 volume (taken from section A of complaints template)	Commentary -
Example of complaint topic (level 2 category): Provision of information covering section A/NRPS categories on: Provision of information about train times/platforms Provision of information on website or mobile apps The provision of information during the journey	Section A complaint volumes for each particular category	Example (to be provided with level 2 or level 3 examples): TOCs should provide some commentary as to what is driving the volumes of complaints in this category and explain clearly what actions they have made to address them, and what effect that has had. E.g. 'in May 2015 we noted an increase in the volume of complaints regarding the quality of information on our website and mobile apps. We brought in a specialist team to examine these issues and we made changes to our information channels which have had the following effect....'



Top five key areas

Operators to provide detail on the following question:

"What are the top five key areas passengers have complained about in the past year and what action are you taking to address them?"

By 'key areas' we mean service issues clearly within the Operator's area of responsibility (i.e. not issues clearly caused by another Operator or a third party beyond your control, such as Network Rail).

Section A complaints

The volumes of complaints should be taken from section A. The complaint category and P1-13 volumes should be the level 3 complaint category.

Complaints outside the Operator's control

Complaints about delays to services caused by Network Rail engineering works, or issues directly related to the actions of another TOC, are reasonably beyond the Operator's control and so should be excluded from being reported under this indicator.

Delays or other types of service failure caused by factors largely attributable to the actions of the Operator (e.g. train faults, staff shortages, etc.) should be reported under this indicator. Operators should examine their own complaint topics during 2019-20 and consider which should be reported to ORR under this section.

Commentary

In the commentary box Operators should include narrative on both successes and failures. ORR recognises that most complainant service improvements are achieved through learning from trial and error and so we are keen to hear of the actions Operators have been taking to seek improvements in complaint handling regardless of whether they delivered the desired outcomes.

Please include:

1. Information that is easily understandable and brief.
2. Show what the problem was, how the Operator addressed the problem, and what impact this had.
3. Should relate to the level 3 complaint categories on the template.
4. We assume these will be top 5 areas by volume (in the Operator's control) and will match the volumes in Section A of the template.

Example:

Ticket buying facilities – Smartcards

“The top complaint category in the past year related to complaints about the use of our newly launched Smartcard, with some passengers finding it difficult to find information about how to use the ‘top up’ function. In P8 the smartcard website area was improved to help passengers understand the Smartcard and how it works: for example, an overview, ‘user guide’, and improved FAQs were added. By P9 we noted a significant drop in the volume of complaints about this issue leading us to believe it has been remedied by our actions.”

11. Section F: Staff who have received relevant disability awareness training or disability equality training

This section records the number of staff who have undertaken disability awareness and equality training, along with details about the training. The number recorded should include both initial and refresher training. This meets ATP indicator 10 (see annex A for further information).

We plan to update the disability and equality training questions (section F) throughout 2020-21 as the Accessible Travel Policy approvals and implementation process progresses. Be assured we will give plenty of notice of the reporting requirement in relation to this ahead of the April 2021 training data submission deadline.

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12. Section G: Ticket Vending Machines data

A). Ticket Vending Machine complaints (rows 6 and 7)

Metric	P1	P2	P3
Ticket Vending Machine complaints: TOTAL			
of which: how many related to information provision			

This data is used by ORR to better understand and monitor the areas of concern for TVM users with a particular focus on meeting consumer law obligations and industry standards⁷ which state that train Operators should provide the information on TVMs in such a way to allow the passenger to purchase the most appropriate ticket for their journey.

ORR have decided to keep this separate from the section A complaint categories and to record it in section G for the following reasons:

- ORR already collects ‘ticket buying facilities’ and ‘ticket buying facilities other’ categories which include TVM related complaints. These are long standing categories, and we do not want to disrupt this time series at this time.
- In order to reduce burden on Operators can submit this data four times throughout the year at periods 4, 7, 10 and 13.
- Any train Operators not signed up to TVM Price Guarantee must still submit the same data as those who have signed up.

TVM complaints and those relating to information provision

ORR asks that two sets of data are provided:

- Total number of closed TVM complaints; and
- Number of these TVM complaints which related to the provision of information.

Total ticket vending machine complaints

TVM complaints refer to all closed complaints about TVMs. Please note, this is complaints only about TVMs, and excludes complaints about other methods of buying tickets such as through ticket offices or online.

Complaints about not getting the correct change via a TVM will be included in this total TVM category, and not the information provision category below.

⁷ <http://orr.gov.uk/what-and-how-we-regulate/consumers/consumer-policy/code-of-practice-on-retail-information-consultation-on-developing-a-code>

Number of TVM complaints that relate to information provision

By information provision, we mean complaints about the following:

- Incorrect ticket sold/overcharged for a ticket;
- Tickets not available via a TVM (for example, Groupsave ticket or super-off peak not available);
- Railcard discount not available on a TVM; and
- Other (for example, TVM did not provide an explanation regarding travel restriction for a ticket valid for travel only on a certain train/time/route).

B). Price Guarantee/refunds data for TVMs

Total number of applications received			
Total number of applications granted			
Total value paid out (£)			

During 2017, ORR called upon train Operators to introduce a TVM Price Guarantee, refunding the additional ticket costs where a passenger finds that they could have bought a cheaper ticket for their journey. Most train Operators responded positively to our recommendation.

We now collect the information on:

- the number of applications train Operators received for TVM Price Guarantee;
- how many of these were granted under TVM Price Guarantee;
- and what was the total value paid out (in £).

Based on cases closed

The volumes of applications received and applications granted should be based on when the claim was closed. For example, if 100 applications were closed in period one of which 90 were paid out, the applications received would show 100 and applications granted would show 90 for period one.

All TVM applications and refunds should be included

TVM applications and refunds should include all those received by the Operator irrespective of how the customer's application was made. This may include refund channels such as through ticket offices or a customer contact centre.

We understand some Operators issue refunds through their customer contact centre only, while some others grant refunds at ticket offices and via contact centres but only have the capacity to record applications made via the contact centre. It is therefore essential that if there are any issues around the completeness of the data that this is reported in the commentary box provided. Nevertheless, Operator's should endeavour to report on all TVM applications received across all channels where possible.

13. Section H: Delay compensation claims

A). Delay compensation claims made under an Operator's delay compensation scheme (i.e. Delay Repay or Charter Scheme)

This section records delay compensation claim volumes and response times by Operators. For the avoidance of doubt, here we are referring to delay compensation claims made under the Operator's relevant scheme e.g. Delay Repay or a Charter-based arrangement.

Description	P1	P2	P3
Volume of claims received within period			
Volume of claims closed within period			
Volume of claims approved within period			
% closed within 20 working days			

Volume of claims received within period (row 8)

The volume of delay compensation claims that have been received in the period. This may include contacts which have been received but have yet to be processed and classified as delay compensation claims.

At the time of reporting if there were cases which were yet to be categorised as delay compensation claims, and were subsequently categorised as delay compensation claims in the following period, the Operator will need to revise the previous period's data to reflect the correct volumes received (see figure 13).

Figure 13: Volume of claims received reporting example



For this example, 100 delay compensation claims were received during period 5 when producing the period 5 report.

Following the submission of the period 5 report to ORR, the Operator subsequently categorised some previously uncategorised correspondence as delay repay claims. As these were received at the end of period 5, the period 5 figures need to be revised.

In the example above, the period 5 figure will be revised with the period 6 report to show 120 delay compensation claims received

Volume of claims closed within period (row 9)

The volume of delay compensation claims closed within a period. This may include claims closed within the period even if they were received in the previous period.

If a delay compensation claim form contains several claims from a passenger, then each claim should be counted separately. For example, if a delay compensation claim contains two claims for delayed trips, then this should be counted twice within these statistics.

Note that while the volume of claims received may be revised for subsequent periods after submission of periodic data, the volume of claims closed will generally not be revised. If there are any revisions to back-series data, it would be helpful to indicate why this is the case.

Volume of claims approved within period (row 10)

The volume of delay compensation claims which have been approved within the period (i.e. the passenger's claim was successful). This is based on those claims closed within the period.

For example, if 100 claims were closed (row 9) in P5 then the volume of claims approved (row 10) in P5 would be less than or equal to those 100 claims closed. From this ORR can also derive the number of claims closed that were rejected (i.e. unsuccessful).

Percentage of claims closed within 20 working days (row 11)

The percentage of claims closed within 20 working days. This is based on those claims closed within a period. For example, if 100 claims were closed in a period, the response time would be for those 100 claims closed.

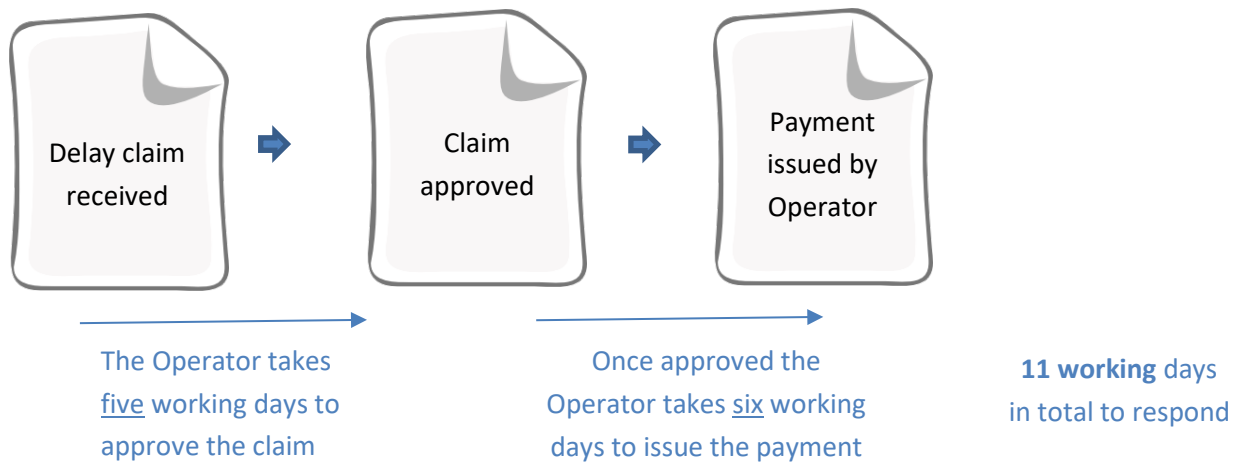
Claims closed are based on when the claim was paid or rejected by the Operator

The percentage of claims closed within 20 working days is calculated on when the claim was received by the Operator to when the payment was issued for a successful claim or when the claim was rejected for an unsuccessful claim.

Please note, the response time is **not** based on when the claim was received to when the claim was 'processed' e.g. processed prior to payment being approved.

In other words, **the response time is based on the full end-to-end process of receiving, processing and formally closing the claim (paid or rejected)**. This is illustrated below in figure 14.

Figure 14: How to record response times for delay compensation claims

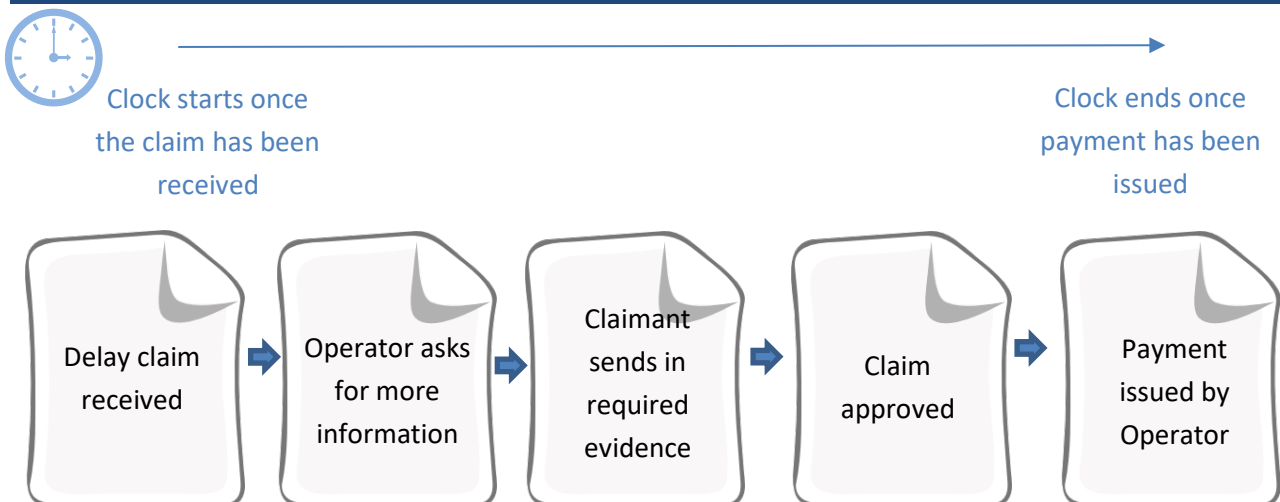


In the example above, the response time takes into account both the five working days to approve the claim, and the six working days to pay the claimant – so 11 working days in total.

Waiting for the claimant to respond with further information

The Operator **cannot** ‘stop the clock’ and put the claim on hold for any reason. This includes waiting for further information from the claimant in order to progress the claim.

Figure 15: How to record response times when requesting further information from the claimant



The claim is not put on hold at any time. The response time is from when the delay claim was received to when the payment was issued and the claim is closed.

B). Delay compensation claims made under the Consumer Rights Act (CRA)

The CRA took effect in the rail sector on 1 October 2016 and is enforceable by ORR. To help us monitor how it is being implemented we now require a single annual data return on delay compensation claims each Operator has received under the CRA within the year (i.e. a single figure for P1-P13).

Description	2019-20
Volume of delay compensation claims received under the CRA	
Volume of delay compensation claims received under the CRA which were approved	

Volume of delay compensation claims made under CRA

The volume of delay compensation claims received throughout 2019-20 which referenced the CRA as the basis for the claim.

It is worth noting some of these claims may also be counted within the claims received within rows 8-11 (e.g. it is possible the claimant requested compensation for the train delay under Delay Repay but has also asked for additional compensation).

Volume of delay compensation claims received under the CRA which were approved

The volume of delay compensation claims received throughout 2019-20 which referenced the CRA as the basis for the claim and were approved (i.e. successful).

Again, these claims may also be counted within the claims received within rows 8-11.

Annual data only

For 2019-20 we only require an annual figure. This will be submitted with the P13 data in late April 2020.

14. Section I: Claims for redress following booked assistance failure

This section reports on the number of claims for redress following booked assistance failure, and the number of times an Operator has issued redress when a booked assistance has failed. This is a new section for 2019-20 reporting.

ORR may expand this section for 2020-21 depending on the outcome of the [Improving Assisted Travel consultation](#).

Description	P1	P2	P3
a). Number of claims received for redress following booked assistance failure			
b). The number of times you provided redress for booked assistance failure			

Redress

Redress is defined as: *A remedy for a wrong arising from a contract or other relationship between a consumer and trader.* E.g. a refund, gesture of good will, etc.

Unbooked assistance

Failures for unbooked assistance (e.g. Turn Up and Go) are excluded from being reported in this section.

Claims against your Operator and redress

Note: we simply require you to report on the volumes of claims received and the number of instances where you provided redress. This will be based on your current company policy for how you handle these types of claims.

Please note, the number of claims received for redress in row A will be higher than or equal to the number of times redress has been provided in row B.

Row A will include all correspondence from passengers who have experienced booked assistance failure and expressed dissatisfaction. The total in row A will most likely match or be similar to the complaints about 'booked assistance not provided at station/staff' within the section A report.

The passenger does **not** specifically have to request redress (such as a refund) as part of their communication to be included within row A. For example, if the passenger contacted

the Operator regarding booked assistance failure they have experienced, by extension that is an expression of dissatisfaction about a service failure, and should be logged as both a complaints most likely under 'booked assistance not provided at station/staff' within section A, and also within row A of Section I. If the TOC approves that claim, then it should be recorded within row B.

If the Operator offers a gesture of good-will to the passenger due to booked assistance failure, in terms of reporting, the passenger will be included within both row A and B.

Reporting timescales

In order to reduce burden Operators can submit this data four times throughout the year at periods 4, 7, 10 and 13.

15. Sending the data to ORR

Please submit data in the excel template provided to rail.stats@orr.gov.uk at most fifteen working days after the period has ended.

It is essential that the template is used and no modifications are made to it as the data is uploaded directly to our data warehouse and any changes to the format of the template will result in an error when it is uploaded.

We accept revised data for previous periods and will refresh the time series with any new data received. It would be helpful if Operators could indicate in their covering email if any data have been revised and any reasons for the revision.

A copy of the template can be downloaded from the related documents box here: <http://orr.gov.uk/statistics/published-stats/core-data>.

Commentary on trends

We welcome any comments you have which describes changes in your complaints data. For example, if the complaints rate has increased or decreased, any impact on percentage of complaints responded to, and type of complaint. We will use this information to explain trends within our statistical release.

Quality assurance checks

ORR carry out periodic quality assurance checks on all data received. We will contact Operators the week after the periodic deadline if we find any potential issues. We have listed our checks in annex B. It may be helpful to build these checks into your own reporting schedule in order to reduce ORR contacting you with any potential data issues following submission.

Help and support

For any enquiries please email rail.stats@orr.gov.uk

Operator visits

ORR are happy to visit your TOC to understand more about your complaints data and processes, and to help with any queries.

Feedback

To supply feedback on the guidance, data template, or any process of the data collection please email rail.stats@orr.gov.uk.

Annex A – Final core data indicators for 2019-20

The table below summarises the final core data indicators for 2019-20 that Operators are required to report on.

Indicators	Reporting frequency	Sheet name in template
CHP indicators		
<p>1. Total number of complaints</p> <p>a) Total number of complaints received in the period</p> <p>b) Total number of complaints closed in the period</p> <p>c) Total number of complaints re-opened in the period</p>	Periodic	Section B
<p>2. Percentage of complaint cases responded to within the requirement/target, including sub-categories (a)-(d)</p> <p>a) Percentage of complaints responded to within 20 working days</p> <p>b) Percentage of complaints responded to within 10 working days</p> <p>c) Percentage of complaints responded to within <u>in-house handling target</u></p>	Periodic	Section B
<p>3. Total number of complaints received by complaint category</p> <p>Complaint categories detailed in section A of reporting template</p>	Periodic	Section A
<p>4. Complaints about the complaint handling process</p> <p><i>What was the problem with the complaint handing process?</i></p> <p>a) response time</p> <p>b) type/level of compensation</p> <p>c) complaints not fully addressed / fulfilled by TOC</p> <p>d) no response from TOC</p> <p>e) TOC was impolite/unhelpful</p> <p>f) complaint not received</p> <p>g) Other</p>	Periodic	Section A

<p>5. Complainant satisfaction with the complaints handling process</p> <p>Data derived from ORR-led complaint handling satisfaction survey.</p>	Ongoing	Collection via complaints survey operated by Critical Research
<p>6. Satisfaction with complaint outcome</p> <p>Data derived from same ORR-led complaint handling satisfaction survey noted above.</p>	Ongoing	Collection via complaints survey operated by Critical Research
<p>7. Number of referrals to the Rail Ombudsman</p> <p>Operators who are participating in the Ombudsman scheme should stop reporting on the signposting of appeals at the SSR stage and instead switch to reporting on the number of referrals they make to the Ombudsman under the following sub-headings:</p> <ul style="list-style-type: none"> a) Number of complainants sign-posted to the Ombudsman via deadlock letters b) Number of complainants sign-posted to the Ombudsman via 8 week letters 	Periodic	Section B
<p>8. Measuring continuous improvement in complaint handling</p> <p>Operators to provide a short summary report with quantitative and qualitative data answering the following question:</p> <p><i>“What are the five key areas passengers have complained about in the past year and what action are you taking to address them?”</i></p> <p>By ‘key areas’ we mean service issues clearly within the TOC’s area of responsibility (e.g. NOT issues caused by another TOC or third party, such as Network Rail).</p>	Annual	Section E
ATP indicators		
<p>9. Disabled person’s railcard volumes</p> <p>ORR collects this data directly from RDG</p>	Periodic	Source: RDG

<p>10. Staff who have received relevant disability awareness training or disability equality training</p> <p>Operators to provide a short annual summary report with quantitative and qualitative data answering the following questions:</p> <ul style="list-style-type: none"> a) Who is being trained and how often? Provide details on type of staff affected and numbers. b) Do you have dedicated training or is it part of general training? Provide details. c) Who delivers the training? (in-house or specialist third party, etc.?) Provide details. d) What resources (e.g. training materials) do you use? Provide details. 	Annual	Section F
<p>11. Assisted travel - sub categories (a) to (f)</p> <ul style="list-style-type: none"> a). Volume of booked assistance (this data is supplied by RDG) b). Volume of booked assistance completions c). Volume of booked assistance incomplete, and reasons for each incomplete assistance <ul style="list-style-type: none"> i). No space on train II). No staff available iii). Disruption iv). Passenger did not arrive/ arrived too late for service v). Other d). Volume of unbooked assistance (Turn Up and Go) requested e). Volume of unbooked assistance (Turn Up and Go) completed f). Volume of unbooked assistance (Turn Up and Go) incomplete, and reasons for each incomplete assistance (below) <ul style="list-style-type: none"> i). No space on train II). No staff available iii). Disruption iv). Passenger arrived too late for service v). Other 	Periodic	Section D
<p>12. Volume of accessibility related complaints</p> <p>See accessibility complaints section in reporting template</p>	Periodic	Section A

<p>13. User satisfaction with Assisted Travel</p> <p>For 2019-20 this data will be provided by an ORR-led survey but will only capture satisfaction with booked assistance via surveys with Passenger Assist users.</p> <p>N.B. ORR consulting with RDG to capture this data automatically via the new Passenger Assist app as the long-term, enduring solution to this.</p>	Ongoing	Data collected via ORR survey (for 2019-20 the survey will be administered by Breaking Blue)
<p>14. Alternative accessible transport (AAT) supplied and the reasons for it</p> <p>Total number of occasions when AAT has been provided to a disabled passenger, both booked in advance and where it was not.</p> <ul style="list-style-type: none"> a) Station inaccessible b) Unmanned station c) Rail replacement bus service d) Other (e.g. disruption) <p>Operators also have the option to submit data on the amount of expenditure on AAT for the period.</p>	Periodic	Section C
<p>15. Redress for booked assistance failure (new for 2019-20)</p> <ul style="list-style-type: none"> a) Number of claims received for redress following booked assistance failure b) The number of times you provided redress for booked assistance failure 		
Ticket Vending Machines (TVM)		
<p>16. Complaints concerning Ticket Vending Machines</p> <ul style="list-style-type: none"> a) Total number of TVM complaints b) Of which how many related to the provision of information 	Periodic	Section G
<p>17. TVM Price Guarantee applications and refunds</p> <ul style="list-style-type: none"> a) Total number of Price Guarantee applications received b) Total number of Price Guarantee applications granted c) Total value paid out 	Quarterly	Section G

Delay compensation		
<p>18. Delay compensation claims under Operator’s relevant scheme (e.g. Delay Repay or Charter)</p> <ul style="list-style-type: none"> a) Volume of claims received within period b) Volume of claims closed within period c) Volume of claims approved within period d) Percentage of claims closed within 20 working days 	Periodic	Section H
<p>19. Delay compensation claims made under the Consumer Rights Act (CRA)</p> <ul style="list-style-type: none"> a) Volume of delay compensation claims received under the CRA b) Volume of delay compensation claims received under the CRA which were approved/successful 	Annual	Section H

Annex B: Periodic quality assurance checks

Below are the quality assurance checks ORR carry out on Operators data every period.

Section A:

A1). Grand total (row 79) must equal the sum of all complaint categories excluding praise.

Section B:

B1). Total number of complaints closed (row 17) must be less than or equal to tab Section A Grand total (row 79).

B2). Percentage of complaints responded to within 20 working days (row 15) and total number of complaints closed (row 17) should not change throughout the year (since they are based on complaints closed). Any revisions must be explained during your submission.

B3). 'Percentage of complaints responded to within 20 working days' (row 15) must be greater than or equal to 'Percentage of complaints responded to within 10 working days' (row 13).

Section D:

D1). Reasons for each incomplete booked assistance (row 9 to 13) should sum up to the volume of booked assistance incomplete (row 8). If this does not match (for example an assistance has more than one failure reason), please provide information in the commentary box.

D2). Reasons for each unbooked assistance (row 17 to 21) should sum up to the volume of unbooked assistance incomplete (row 16). If this does not match (for example an assistance has more than one failure reason), please provide information in the commentary box.

D3). The volume of unbooked assistance requested (row 14) should sum to the volume of unbooked assistance completed (row 15) plus the volume of unbooked assistance incomplete (row 16).

Section G:

G1). Volume of TVM complaints relating to information provision (row 7) must be less than or equal to the total volume of TVM complaints (row 6).

Section H:

H1). Volume of claims approved within period (row 10) must be less than or equal to the volume of claims closed within period (row 9).

H2). Volume of claims approved within period (row 10) and percentage closed within 20 working days (row 11) should not change throughout the year once submitted. If your data does change, please explain the reasons in your report submission.

H3). Volume of delay compensation claims received under the CRA which were approved (row 17) must be less than or equal to the volume of delay compensation claims received under the CRA (row 18).



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