Reference guide for ORR Core Data compliance reporting
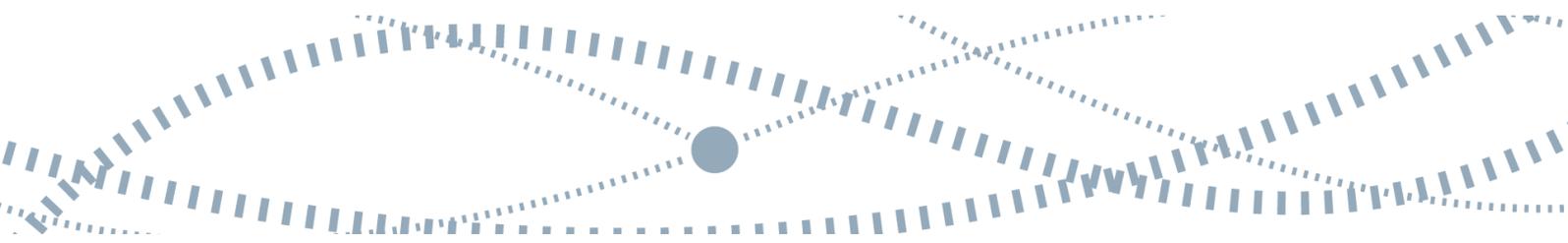
2022-23

18 March 2022

Contents

1. Introduction

Purpose of the document

This guidance has been produced to support train operating companies ('Operators') and other licence holders when reporting their compliance 'Core Data' to ORR. Core Data is the term ORR uses to describe the primary compliance monitoring framework it uses to assess its licensees' compliance with their regulatory obligations in relation to passenger-facing activities. The Core Data reporting requirement is formally reviewed annually to ensure that ORR's monitoring remains relevant, proportionate and well-targeted.

A full list of the reporting required under Core Data can be found in annex 1 of this document.

The ORR licence conditions can be found on the licensing section of the ORR website.

Reporting template

The Core Data reporting template is located on our Core Data section of the ORR website (please see the related files section at the bottom).

Training or refresher in data submission

If you are new to reporting, or require a refresher in any reporting sections, please email rail.stats@orr.gov.uk and we will be happy to provide support.

Questions or feedback

For any questions or feedback please email rail.stats@orr.gov.uk.

2. Updates for 2022-23

There are no changes to the data we are asking operators to provide in 2022-23. However, a small number of updates have been made to the guidance within this document. These changes are summarised below.

Updates for 2022-23

Section	Change
Section H (delay compensation)	Guidance for reporting metric e (average time to close claims) has been updated.
Section K (rail replacement)	Guidance for reporting PSVAR data has been updated.

3.   Complaint definition

What should count as a complaint

The following section, as well as sections A and B, supplement the licence guidance on [complaints handling procedures](#).

The following section defines what should count as a complaint. The complaint definition is used for reporting in sections A and B.

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 sections A and B.

Complaint contact methods

Contact method	Scope
Letter (including comment cards)	In scope
Email/Webform	In scope
Telephone call	In scope
Meet the manager	In scope
Online forums (including live chat)	In scope

Meet the manager and online forums

ORR recognise that *meet the manager* and online forums generate lots of customer 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.

What should not count as a complaint

The following criteria should **not** be counted as a complaint within sections A and B.

What should not be counted as a complaint

Contact method	Scope
Another operator's complaint	Out of scope
Delay compensation claim	Out of scope (unless a complaint, see note below)
Feedback	Out of scope (see note below)
National Rail Enquiries	Out of scope
Praise	Out of scope (see section B for further information)
Social media	Out of scope (see note below)
Transport Focus/London TravelWatch	Out of scope

Another Operator's complaint

Complaints which relate to another Operator (these are sometimes referred to as 'OTOC complaints') 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 (delay compensation) and not be included in the complaints data. A standard delay compensation claim is not a complaint.

However, complaints about delay compensation schemes, claims or claims processes **should** be included in the complaints data and there are specific categories within section A (see section H 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).

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 counted within the complaint statistics (within section B). This is because section B is used to calculate an Operators' complaints rate (complaints per 100,000 journeys). 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 closed.

However, praise **should** be included within section A (see row 79 of the template). This can include praise comments included within complaint correspondence, or separate praise closed by the complainant service team through contact methods listed in section B (see section A and B 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.

4. Summary of how to record a complaint

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.

Customer complaint received. Received is defined as the first working day the complaint has been received (rather than loaded on to a database)

TOC gives first full substantive response. This will be the rail company's first substantive response which in its view, reasonably provides a full response to the consumer's complaint.

Original complaint closed & reported in data submitted to ORR

Customer raises a new complaint about something which is different to the original complaint.

This would count as a **new complaint** in sections A and B. Response time would be for the new complaint only.

Customer not satisfied with how the complaint has been handled or with the outcome

Section A: Add new categories within section A (e.g. under complaints handling). This will be reported in the period the next full substantive response was sent. Previous section A data already submitted remains unchanged.

Section B: No reporting required in terms of complaint volumes or response rate after first full substantive response.
Report the volume of complaints that have been re-opened.

If the complaint is not resolved by 8 weeks or it has reached a deadlock, then signpost to Rail Ombudsman. Record the volume that has been signposted in section B.

5. Section B - complaints

This section records complaint volumes by different contact methods and response times to those complaints. This section also records Ombudsman referrals. Section B fulfils CHP indictor 1, 2 and 7.

Section B has deliberately been placed before section A since correct understanding of how to report section B is required first in order to complete section A.

Total number of complaints closed (rows 6 to 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		0	0	0

The methodology for reporting complaint volumes is set out below.

Based on complaints closed

Complaint volumes are based on the number of complaints **closed** within a period (as opposed to complaints received). Once this data has been submitted to ORR it should remain fixed, with no further changes required. Please see the previous section for definition of a complaint.

Based on first full substantive response 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

Any responses following the first full substantive response regarding the same complaint should not be reported within this section (rows 6-10 and 17).

For example, 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.

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 B.

Reporting example for a complaint 'comeback'

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.

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 (rows 6-10 and 17). This is because section B records the number of complaint correspondence closed. Please note, within section A, each complaint type is recorded separately (see section A).

For example, if a 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.

Response times to complaints (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

The methodology for reporting response times to complaints is outlined below.

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.

Calculating response time

The response time is based on when the complaint was first received by the Operator to when the Operator issued the first full substantive response.

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

The first full substantive response is defined within the 'number of complaint correspondence' section previously.

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.

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 'correspondence following the first full substantive response'), if the complainant makes a new complaint, then it should be categorised as a new complaint with its own response time.

Operator's own complaints handling target (row 12)

The Operator must insert their own complaints handling target into row 12. If the Operator target changes throughout the year, the Operator should update this row from the period the target change.

Data format for response times

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

Response time summary

Correct way of reporting response times	Incorrect reporting of response times
The received date of a complaint is defined as the first working day the TOC received the complaint, as opposed to the complaint being uploaded to a complaints management system. The report should be reported as closed once the first full substantive response is issued.	Reporting each response time associated with the complaint separately. E.g. one set of response times for the first substantive response, and adding on separate responses following the first full substantive response.

Response times reporting example

The Operator received a complaint and made a first full substantive response on the 15th working day. The complaint is re-opened and takes a further 10 working days to issue another response.   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:
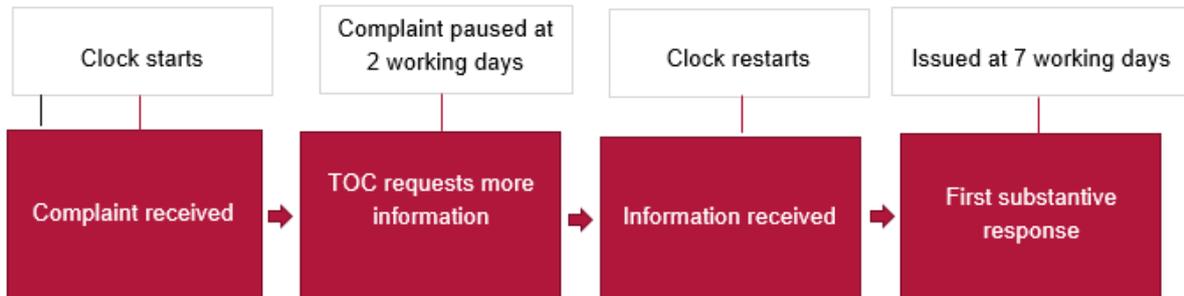
Metric	Contact method	P1
Number of complaint correspondence	Letter	1
	Email/Webform	
	Telephone	
	Meet the Manager	
	Online Forums	
Percentage of complaints responded to within complaints handling target	All contact methods (%)	0.00%
Complaints handling target - All contact methods	**Target (working 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		1

Putting the complaint on hold while waiting for the complainant to respond

The process of putting a complaint on hold while waiting for the complainant to respond, or provide additional information, is known as 'stop the clock'. In 2021 ORR consulted the rail industry on a draft Complaints Code of Practice. Here, we set out proposals to replace our current guidance on complaints handling procedures for licence holders with a new Complaints Code of Practice and amended licence condition. This included proposals to remove the 'stop the clock' mechanism when calculating complaint response times. Please note that any changes to the CHP guidance following this consultation will not affect the 2022-23 core data collection. Therefore, arrangements relating to 'stop the clock' are unchanged in 2022-23.

The complaint response time can 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 flow diagram below).

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.

Clock starts	Complaint paused at 2 working days	Clock restarts	Issued at 7 working days
Complaint received	TOC requests more information	Information received	First substantive response

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.

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

If the percentage of complaints closed is lower 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 day 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 add your response to the commentary box within section B. If further explanation needs to be provided, please send to rail.stats@orr.gov.uk.

Volume of complaints received in the period (row 18)

The volume of complaints 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.

Complaints received data should be revised if the data within this metric has been re-categorised as non-complaints in following periods.

For example, in period one, 100 complaints were noted as being received. During period two the Operator investigated those 100 complaints received in period one and noted 20 were found to be general enquiries (i.e. not classified as a complaint). The Operator should therefore revise period one figures to 80 complaints (100 minus the 20 which were adjusted to general enquiries).

Volume of complaints re-opened (row 19)

The volume of complaints 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.

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

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.

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 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			

Deadlock letters (row 20)

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 has been issued, it should **not** be counted within the volume of eight week letters as well.

Methodology for reporting response times.

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 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-opened).

Eight week letters (row 21)

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. Eight week letters are the equivalent of 40 working days which is also used within the rail industry.

The same methodology as deadlock letters (above) for response times applies here.

Reporting timescales

To be submitted every period.

6. Section A – complaint categories

This section categorises the type of complaints which were closed in section B. This fulfils CHP indictors 3 and 4, as well as ATP indicator 12.

Categorisation of complaints

Each cause for a complainant's expression of dissatisfaction (complaint type) within a complaint correspondence should be recorded in section A.

Within section A ORR has a pre-set list of complaint categories. The categories consist of 15 level 2 categories, which are further disaggregated into 74 level 3 categories. For example, one of the level 2 categories is on accessibility issues has 18 sub-categories listed within level 3.

Reporting example

If a complaint correspondence contains two type of complaint categories, such as one on performance and one on accessibility issues, then this will recorded twice within section A. Once under performance, and once under accessibility issues (in contrast this will be recorded as one complaint in section B).

Level 1 Category	Level 2 Category	Level 3 Category	P1
All Contact Methods	Accessibility issues	Assistance booking process	1
All Contact Methods	Train Service Performance	Punctuality/reliability (i.e. the train arriving/departing on time)	1
Grand total (of all complaints excluding praise)			2

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 may be re-opened and the Operator may send another response. 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 B for guidance).

Difference between sections A and B

The total 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 A. There is a quality assurance check in section B which will highlight if section A is lower than section B. If row 81 within section A shows a 'check' note, please ensure all complaints in section B are categorised in section A.

Praise (row 79)

Praise should be recorded in section A (but **not** section B). ORR will report the Operators' praise rate quarterly in our quarter four statistical release. The following praise definition shows how the praise comment should be specific to be in-scope.

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 Operator's 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.

Complaints mapping table

Within the data template there is a complaints mapping table sheet. This gives examples and guidance for 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 ORR and we can update the mapping table.

During 2020-21 ORR issued guidance on how to categorise COVID-19 type complaints. This guidance can be found in annex 4 of this document and within the complaints mapping document for 2022-23 reporting.

Reporting timescales

To be submitted every period.

7.   Section C – alternative accessible transport

This section records the number of alternative accessible transport (AAT) volumes, and the type of AAT used due to rail replacement. This section fulfils ATP indictor 14.

Alternative accessible transport volumes (row 5-11)

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-d.

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

Passengers only

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

D). Other disruption (row 10)

Where the use of AAT falls into metric 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.

Expenditure for all AAT - optional (row 11)

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

Type of AAT used for rail replacement services (row 14-18)

The type of AAT used if the rail replacement vehicle was inaccessible to the passenger.

The sum of type of AAT used (rows 15-18) will match the volume of AAT due to rail replacement services in row 9.

For rail replacement services (metric c), the type of AAT used:

c) rail replacement service	0	0	0
Taxi			
Mini-bus			
Other			

Commentary

Operators are encouraged to 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.

Data not available

If the data is not yet available at the time of reporting, please confirm within the commentary box (e.g. if the data is lagging behind the Core Data reporting timescales due to waiting for invoices from a taxi supplier).

Reporting timescales

To be submitted quarterly with periods 4, 7, 10 and 13.

8.   Section D – booked and unbooked assistance

This section records the detail on both booked and unbooked assisted journeys. It fulfils ATP indicator 11.

Booked assistance (rows 6 to 13)

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.

Metric reference	Type	Metric	P1
A	Booked	A). Volume of booked assistance **(this data is supplied by RDG)**	
B	Booked	B). Volume of booked assistance completions	
C	Booked	C). Volume of booked assistance incomplete, and reasons for each incomplete assistance (below)	0
Ci	Booked	i). No space on train	
Cii	Booked	II). No staff available	
Ciii	Booked	iii). Disruption	
Civ	Booked	iv). Passenger did not arrive / arrived too late for service	
Cv	Booked	v). Other	

A). Volume of booked assistance (this data is supplied by RDG) (row 6)

This is the number of assists booked through the Passenger Assist system, managed by the 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 (row 7)

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) (row 8-13)

If a booked assistance request has been logged in Passenger Assist and the assist has **not been 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

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.

Unbooked assistance (rows 14 to 21)

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

D	Unbooked	D). Volume of unbooked assistance (Turn Up and Go) requested	
E	Unbooked	E). Volume of unbooked assistance (Turn Up and Go) completed	
F	Unbooked	F). Volume of unbooked assistance (Turn Up and Go) incomplete, and reasons for each incomplete assistance (below)	0
Fi	Unbooked	i). No space on train	
Fii	Unbooked	II). No staff available	
Fiii	Unbooked	iii). Disruption	
Fiv	Unbooked	iv). Passenger arrived too late for service	
Fv	Unbooked	v). Other	

D). Volume of unbooked assistance (Turn Up and Go) requested (row 14)

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 (row 15)

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 (rows 16-21)

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

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).

Commentary

If the assists you have provided relate to a sample of stations, (eg if four stations are logging this data), please indicate the stations within the commentary box from row 25.

Please also provide any data caveats or limitations that ORR should be aware off.

Reporting timescales

To be submitted quarterly with periods 4, 7, 10 and 13.

9. Section E – continuous improvement with complaints

This section records the top five key areas passengers have complained about, and what the Operator is doing to address those issues.   This fulfils CHP indicator 8.

Continuous improvement in complaints handling

Number	Complaint category (level 3)	P1-P13 volumes (taken from section A level 3 category)	Commentary
Example	Example of complaint topic (level 3 category): e.g. Provision of information on website or mobile apps	Section A complaint volumes for each category	Example (to be provided with 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 2017 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....'.

Operators to provide detail on the following question:

"What are the top five <u>key</u> 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).

Complaint category (level 3)

The complaint category should be taken from the level 3 categories within section A.

P1-13 volumes

The annual volumes of complaints should be taken from section A.

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.

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 and consider which should be reported to ORR under this section.

Reporting timescales

To be submitted annually with the P13 submission.

10. Section G – ticket vending machines

This data is used by ORR to better understand and monitor the areas of concern for Ticket Vending Machines (TVM) users with a particular focus on meeting consumer law obligations and industry standards which state that Operators should provide the information on TVMs in such a way to allow the passengers to purchase the most appropriate ticket for their journey. This fulfils TVM indicators 17 and 18.

TVM complaints (row 5-7)

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

TVM complaints (row 6)

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.

The complaints will be based on complaints closed within that period.

Of which: how many related to information provision (row 7)

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).

Price Guarantee/refunds data for TVMs

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.

Applications received and granted (rows 10 and 11)

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.

Price guarantee/refunds data for TVMs

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

All TVM applications and refunds should be included

TVM applications and refunds should include all those closed 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.

11. Section H – delay compensation

This section records delay compensation claim volumes and response times. Claims will cover delay compensation claims made under the Operator's relevant scheme e.g. Delay Repay or a Charter-based arrangement. This section fulfils delay compensation indicator 19.

2022-23 update

- Guidance for reporting metric e (average time to close claims) has been updated.

Delay compensation claims (row 5-10)

Metric	P1	P2	P3
a). Volume of claims received within period			
b). Volume of claims closed within period			
c). Volume of claims approved within period			
d). % closed within 20 working days			
e). Average time to close claims within period (working days)			

a). Volume of claims received within period (row 6)

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 (and vice-versa if claims are no longer categorised as a delay compensation claim).

Automatic or automated claims

If an Operator runs automatic or automated delay repay, and this results in the passenger going through the Operator's delay compensation scheme, then these claims are in-scope of these statistics, and must be included.

b). Volume of claims closed within period (row 7)

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 claims for two 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 revisions to back-series data, it would be helpful to indicate why this is the case.

As per metric A, automated and automatic delay compensation claims are in-scope to be reported for this metric.

c). Volume of claims approved within period (row 8)

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.

Please note, claims approved **cannot** be higher than the claims closed. This is because the claims approved are a sub-set of those which have been closed within that period.

For example, if 100 claims were closed (row 7) in P5 then the volume of claims approved (row 8) 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).

d). Percentage of claims closed within 20 working days (row 9)

The metric is based on claims closed within a period. For example, if 100 claims were closed in a period (metric b), the response time (metric d) would be for those 100 claims closed.

Methodology for recording response times

The response time is based on the full end-to-end process of receiving, processing and formally closing the claim (paid or rejected).

If the claim has been approved, then the response time is calculated from when the claim was received to when the **payment was issued**. 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.

If the claim was rejected, then the response time is calculated from when the claim was received to when the claimant was notified their claim was rejected.

For example, if the Operator takes five working days to approve the claim, and a further six working days to issue the payment, then 11 days (the 5 and 6 day response time) will be reported for this claim.

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.

e). Average time to close claims within period (working days) – (row 10)

The average (mean) time in working days to close the claims within that period.

The same methodology for reporting response time (metric d) will be used for this metric.

Please report the average time to close claims in **whole days** (e.g. '1 day', '2 days', etc). The day on which the claim is received should be counted as day one. For example, a claim received on a Monday and closed on the same day should be reported as '1 day'. If the same claim was closed on Tuesday, this should be reported as '2 days', irrespective of the time of day that the claim was received and closed.

Reporting timescales

To be submitted quarterly with periods 4, 7, 10 and 13.

Note: please refer to separate ORR guidance for any other requirements to publish delay compensation data on operators' own websites, as defined in the Code of Practice. However, the operator should ensure that any data published on their website is consistent with the data reported to ORR in section H.

12. Section I – booked assistance redress

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 fulfils ATP indicator 15.

a). Redress claims received (row 6)

Redress claims received for booked assistance failure within that period.

Requests for redress following booked assistance failure

The passenger does **not** specifically have to request redress (such as a refund) as part of their communication to be included within this section. 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 complaint most likely under 'booked assistance not provided at station/staff' within section A, and also as a redress claim within Section I.

Redress definition

A redress definition has been provided below. Please note that redress can cover more than financial compensation.

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, apology, etc.

Unbooked assistance

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

Comparison to booked assistance complaints

The volume of claims for redress closed will most likely match, or be similar, to the complaints about 'booked assistance not provided at station/staff' within the section A report.

Revisions to claims received

Claims received data may be revised if updated information becomes available in following periods. For example, if a claim was received in period one but was not logged onto the Operators management system until period two, then this claim will be updated within the claims received section for period one.

b). Redress claims closed (row 7)

Redress claims **closed** following booked assistance failure within that period.

The same methodology as claims received (above) will be used to categorise a claim closed for redress following booked assistance failure.

Claims closed example

If a redress claim was received in period one, but closed in period two, then the claim would be logged under period two for this metric. This metric should remain fixed with no changes in following periods.

c). Of the claims closed (metric b), the volume rejected as a booked assistance failure (row 8)

Of the redress claims closed (metric b), the number of claims that were rejected by the Operator. For example, if the Operator closed 100 claims (metric B), and after investigating those 100 claims, the Operator did not accept 10 of these claims as booked assistance failures, then 10 would be reported within metric c (this means 90 out of 100 were approved as booked assistance failures).

d). Of the claims closed (metric b), the volume of claims approved and redress provided (row 9)

Of the claims closed (metric b), the volume of claims which were both approved and redress provided to the passenger.

For a definition of redress, please see the above section under (a) claims received.

e). Of the claims closed (metric b), the volume of claims approved but redress could not be provided to the claimant (row 10)

Of the claims closed (metric b), the volume of claims which were approved but redress could not be provided to the passenger. For example, this may include instances where the Operator attempted to re-contact the passenger to provide redress but the passenger did not respond.

Reporting timescales

To be submitted quarterly with periods 4, 7, 10 and 13.

13. Section J – Consumer Rights Act

The Consumers Right Act (CRA) took effect in the rail sector on 1 October 2016 and is enforceable by ORR. To help ORR monitor how it is being implemented we require a single annual data return on claims each Operator has dealt with under the CRA within the financial year (i.e. a single figure for P1-P13). This fulfils CRA indicator 20.

a). Volume of claims closed under the CRA (row 6)

The volume of claims closed during the financial year whereby the CRA served as the basis for the claim.

Supporting information on CRA can be found on the National Rail Enquiries website.

Metric	2021-22
a) Volume of claims closed under the CRA	
b) Of which, volume approved	

b). of which, volume approved (row 7)

Of those claims closed (metric a), the volume of claims which were approved (i.e. successful). The volume approved (row 7) must be equal to or lower than the claims closed (row 6).

Reporting timescales

To be submitted annually with the P13 submission.

14. Section K – rail replacement

This section reports on Operator activities in relation to the Public Service Vehicle Accessibility Regulations (PSVAR) for rail replacement duties, and passengers who have booked assistance who were affected by rail replacement. This fulfils ATP indicator 16.

2022-23 update

Guidance for reporting PSVAR data has been updated.

Data submission

The rail replacement reporting is split into two separate collections.

1. Section K within the ORR Core Data reporting template. This covers passengers that have booked assistance that is impacted by a rail replacement service.

2. PSVAR reporting for rail replacement. A separate template has been provided for this collection. It is expected that rail replacement companies will return this template to both ORR and RDG on behalf of Operators.

1). Section K – booked assistance

Metric description	P1
Passengers that booked assistance and were impacted by rail replacement services	

Passengers that requested booked assistance that were impacted by a rail replacement service

This metric records booked assistance passengers affected by rail replacement.

This covers booked assistance users only, and excludes unbooked assistance (turn up and go). The metric covers both planned and unplanned disruption.

2). PSVAR for rail replacement data submission

This separate collection covers PSVAR reporting for rail replacement services. These data can be returned by either the rail replacement provider or the TOC. However, please

ensure that both organisations are clear about who is responsible for submitting the return so that ORR receives only one return for each TOC. ORR has outlined the reporting methodology below.

The separate PSVAR reporting template can be found on the [ORR Core Data webpage](#).

TOC, date and planned/unplanned metrics (columns A-C)

Please use the pre-populated drop-down menus for columns A-C. This will ensure consistent data entry for all TOCs.

The date (column B) must be shown by [railway periods](#).

Total number of bus duties (PSVAR compliant or under special authorisation) – column D

This metric records the number of bus duties which are in-scope of PSVAR. The methodology for this metric is outlined below.

In-scope buses

This metric records the volume of bus duties which are in-scope of PSVAR. This includes both those which are in-scope, and those which operated under special authorisation.

Definition of duty

A rail replacement 'duty' is the work (planned or unplanned) undertaken by a single vehicle in a single day (based on duty start time and no longer than 24hrs) and may include one or multiple trips.

Out of scope

Column D excludes those vehicles which are out-of-scope of PSVAR reporting. Buses that are not used to transport passengers (e.g. those used to for transporting staff) are not in-scope and should not be reported.

Number of bus duties under special authorisation (column E)

Definition of special authorisation

A duty is considered to be 'under special authorisation' if either:

The vehicle which is planned and operates the whole of a Duty has a Special Authorisation granted by the Secretary of State exempting that vehicle from PSVAR;

The vehicle which is planned and operates any part of a Duty has a Special Authorisation granted by the Secretary of State exempting that vehicle from PSVAR;

A PSVAR compliant vehicle is replaced by a vehicle with a Special Authorisation granted by the Secretary of State exempting that vehicle from PSVAR in an unplanned manner during that duty (for example caused by a mechanical failure);

Total number of coach duties (PSVAR compliant or under special authorisation) – (column F)

The same methodology as used under column D, 'total number of bus duties (PSVAR compliant or under special authorisation)', should be used here for coaches.

Number of coach duties under special authorisation – (column G)

The same methodology as used under column E, 'number of bus duties under special authorisation', should be used here for coaches.

PSVAR non-compliant duties (column H)

Duties which were within scope of PSVAR, but were not compliant and did not have special authorisation. Where non-compliant duties are reported, details should be included in column K to record the reasons for non-compliance. Buses/coaches that are not used to transport passengers (e.g. those used to for transporting staff) are not in-scope and should not be reported.

Duties out of scope for PSVAR (columns I and J)

This section records duties which are out of scope for PSVAR reporting (i.e. not included within columns D to F).

This includes vehicles under 22 seats which are outside the scope of PSVAR but may be used in the normal course of rail replacement operations.

The data should be shown by those vehicles which are accessible and those which are inaccessible.

This section excludes taxis, which are captured separately within the ORR Core Data template within section C (AAT).

Rail replacement duties commentary (column K)

The compliance notes should be used to record the reasons for any non-compliance.

Reporting timescales

To be submitted quarterly with periods 4, 7, 10 and 13.

15. Rail Passenger Rights and Obligations Regulation

Rail Passenger Rights & Obligations (PRO) Regulation

The expiry of the domestic exemption in relation to the PRO Regulation on 3 December 2019 means that Operators are required to publish an annual Service Quality Report (SQR) (see Art 28 of the PRO Regulation).

In order to support Operators with the production of the SQR, ORR has provided guidance on the metrics to be included within the reports. This will help ensure consistency in reporting between Operators.

Operators should ensure they follow the [PRO Regulation](#) requirements alongside and if in doubt over the interpretation, seek independent legal advice.

Service Quality Report publication

Service Quality Reports should be published on the Operator's own website by **31 May** each year.

Confirmation of publication with a hyperlink to the report should be made by the same date to rail.stats@orr.gov.uk.

Service Quality Reports should cover the following minimum Service Quality Standards.

Information and tickets

Report content	Recommended source
Provision of travel information during the journey	TOCs own qualitative information.
How requests for information are handled at the station	TOCs own qualitative information.
How information about train schedules, tariffs and platforms is provided	TOCs own qualitative information.

Report content	Recommended source
Ticket buying facilities	TOCs own qualitative information.
Availability of staff at the station for information provision and ticket sale	TOCs own qualitative information.
How information to disabled people and persons with reduced mobility is provided	TOCs own qualitative information.

Punctuality of services and general principles to cope with disruption to services

a) Delays

Report content	Recommended source
Overall average delay of services in % per category of service (international, domestic long-distance, regional and urban/suburban)	Performance data from TRUST
% delay at departure	Performance data from TRUST
% delay at arrival (of which):	Performance data from TRUST
% delay of less than 60 minutes	Performance data from TRUST
% delay of 60-119 minutes	Performance data from TRUST
% delay of 120 minutes or more	Performance data from TRUST
% of missed connections with other train services	If this data is available

b) Disruptions

Report content	Recommended source
Existence and short description of contingency plans, crisis management plans	TOCs own qualitative information

Cancellation of services

Report content	Recommended source
Cancellation of services as part of all services in % per category of service (international, domestic long-distance, regional and urban/suburban)	Performance data from TRUST

Cleanliness of rolling stock and station facilities (air quality in carriages, hygiene of sanitary facilities, etc.)

Report content	Recommended source
Cleaning intervals	TOCs own qualitative information
Technical measurement for air quality (e.g. level of CO_2 in ppm)	TOCs own qualitative information
Availability of toilets	TOCs own qualitative information. In addition, TOCs may wish to supplement this question with the two questions regarding toilet facilities (at station and on train) from the NRPS where available.

Customer satisfaction survey

Report content	Recommended source
Punctuality of trains	TOCs own information on punctuality/reliability (i.e. the train arriving/departing on time) or from other sources (e.g. Wavelength) where available.
Information to passengers in case of delays	TOCs own information on usefulness of information about the delay or from other sources (e.g. Wavelength) where available.
Accuracy and availability of information on train times/platforms	TOCs own information on provision of information about train times/platforms or from other sources (e.g. Wavelength) where available.
Consistently good maintenance/excellent condition of trains	TOCs own information on upkeep and repair of the train or from other sources (e.g. Wavelength) where available.
High level of security on train/in station	TOCs own information on your personal security whilst using the station (station facilities) and your personal security on board (train facilities) or from other sources (e.g. Wavelength) where available.
Cleanliness of inside of the train	TOCs own information on cleanliness of the inside (train facilities) or from other sources (e.g. Wavelength) where available.
Provision of useful information throughout the journey	TOCs own information on the provision of information during the journey or from other sources (e.g. Wavelength) where available /TOCs own information.

Report content	Recommended source
Response times to information requests at stations	TOCs own information, if available
Availability of good quality toilets on every train	TOCs own information on toilet facilities (train facilities) or from other sources (e.g. Wavelength) where available.
Cleanliness and maintenance of stations to a high standard	TOCs own information on cleanliness (station facilities) or from other sources (e.g. Wavelength) where available.
Accessibility of stations and trains	TOCs own information, if available
Assistance provision to disabled persons and persons with reduced mobility	TOCs own information, if available

Complaint handling refunds and compensation for non-compliance with service quality standards

Report content	Recommended source
Procedure in place	TOCs own qualitative information
Number of complaints and outcome	* Section B Core Data: volume of complaints closed
Categories for complaints	* Section A Core Data: recommend top 5 level 3 complaint categories
Received complaints	* Section B Core Data: volume of complaints received
Processed complaints	* 'Section B Core Data: % of complaints responded within 20 working days. TOC may also publish 10 and own internal target if they wish

Report content	Recommended source
Average response times	* The average response time to close complaints.
Possible improvement action undertaken	* Section E Core Data: TOCs could use section E format to complete this section

Assistance provided to disabled persons and persons with reduced mobility

Report content	Recommended source
Assistance procedure in place	TOCs own qualitative information
No of cases of assistance per category of service (international/domestic long distance, regional and urban/suburban)	Volume of booked assistance. Unbooked volumes provided if available. Please provide notes on any caveats, for example, if volumes are based on a sample.

Further notes:

NRPS (National Rail Passenger Survey) has previously been used as a source of evidence for the customer satisfaction survey section. However, as NRPS has been paused due to the COVID-19 pandemic we recognise that providing evidence may currently be more difficult for some TOCs. Therefore, we ask that you provide the most robust evidence available. This may be from your own research on customer satisfaction, or from other industry surveys, such as Wavelength.

* Metric meets Article 27 (Complaints) PRO reporting requirements.

16. 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 on our Core complaints data webpage.

Railway period dates and submission dates

The railway period dates and submission dates can be found within the coversheet of the reporting template.

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. Please provide comments within the commentary box with the data template.

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 2 Operators should build these checks into your own reporting schedule in order to reduce ORR contacting you with any potential data issues following submission.

Annex 1: Final core data indicators for 2022-23

The table below summarises the final core data indicators for 2022-23 that Operators are required to report on.

CHP indictors:

Indicators	Reporting frequency	Sheet name in template (if applicable)
1. Total number of complaints a) Total number of complaints received in the period b) Total number of complaints closed in the period c) Total number of complaints re-opened in the period	Periodic	Section B
2. Percentage of complaint cases responded to within the requirement/target, including sub-categories (a)-(d) a) Percentage of complaints responded to within 20 working days b) Percentage of complaints responded to within 10 working days c) Percentage of complaints responded to within in-house handling target	Periodic	Section B
3. Total number of complaints received by complaint category Complaint categories detailed in section A of reporting template	Periodic	Section A

Indicators	Reporting frequency	Sheet name in template (if applicable)
4. Complaints about the complaint handling process *What was the problem with the complaint handing process?* a) response time b) type/level of compensation c) complaints not fully addressed / fulfilled by TOC d) no response from TOC e) TOC was impolite/unhelpful f) complaint not received g) Other	Periodic	Section A
5. Complainant satisfaction with the complaints handling process Data derived from ORR-led complaint handling satisfaction survey.	Ongoing	Collection via complaints survey operated by Critical Research
6. Satisfaction with complaint outcome Data derived from same ORR-led complaint handling satisfaction survey noted above.	Ongoing	Collection via complaints survey operated by Critical Research
7. Number of referrals to the Rail Ombudsman 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:	Periodic	Section B

Indicators	Reporting frequency	Sheet name in template (if applicable)
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		
8. Measuring continuous improvement in complaint handling Operators to provide a short summary report with quantitative and qualitative data answering the following question: *"What are the 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 TOC's area of responsibility (*e.g.* NOT issues caused by another TOC or third party, such as Network Rail).	Annual	Section E

ATP indictors:

Indicators	Reporting frequency	Sheet name in template (if applicable)
9. Disabled person's railcard volumes ORR collects this data directly from RDG	Periodic	Source: RDG
10. Staff who have received relevant disability awareness training or disability equality training	N/A	Section F

Indicators	Reporting frequency	Sheet name in template (if applicable)
DISCONTINUED: No longer collected for Core Data from 2020-21.		

11. Assisted travel - sub categories (a) to (f)
 	
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
    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)
    i). No space on train
    II). No staff available
    iii). Disruption
    iv). Passenger arrived too late for service
    v). Other
	Periodic	Section D

12. Volume of accessibility related complaints See accessibility complaints section in reporting template	Periodic	Section A

Indicators	Reporting frequency	Sheet name in template (if applicable)
13. User satisfaction with Assisted Travel For 2022-23 this data will be provided by an ORR-led survey but will only capture satisfaction with booked assistance via surveys with Passenger Assist users. 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.	Ongoing	Data collected via ORR commissioned survey

14. Alternative accessible transport (AAT) supplied and the reasons for it
 	
Total number of occasions when AAT has been provided to a disabled passenger, both booked in advance and where it was not.
 	
   a) Station inaccessible
 	
   b) Unstaffed station
 	
   c) Rail replacement service
 	
   d) Other (e.g. disruption)
 	
Operators also have the option to submit data on the amount of expenditure on AAT for the period.
 	
The type of AAT used for rail replacement services.
 	
•   Taxi
•   Mini-bus
•   Other
	Quarterly	Section C

15. Redress for booked assistance failure
 	
   a) Number of claims received for redress following booked assistance failure
 	
   b) The number of times you provided redress for booked assistance failure
	Quarterly	Section I

Indicators	Reporting frequency	Sheet name in template (if applicable)
16. Rail Replacement services 1. Passengers that booked assistance and are impacted by rail replacement services 2. PSVAR reporting for rail replacement.	Quarterly	Section K

Ticket Vending Machines (TVM)

Indicators	Reporting frequency	Sheet name in template (if applicable)

17. Complaints concerning Ticket Vending Machines
 	
  a) Total number of TVM complaints
 	
  b) Of which how many related to the provision of information
	Annual	Section G

18. TVM Price Guarantee applications and refunds
 	
  a) Total number of Price Guarantee applications received
  b) Total number of Price Guarantee applications granted
  c) Total value paid out
	Annual	Section G

Delay compensation

Indicators	Reporting frequency	Sheet name in template (if applicable)
19. Delay compensation claims under Operator's relevant scheme (e.g. Delay Repay or Charter) 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 e) Average time to close claims within period (working days)	Periodic	Section H

Consumer Rights Act

Indicators	Reporting frequency	Sheet name in template (if applicable)
20. Claims made under the Consumer Rights Act (CRA) a) Volume of claims closed under the CRA b) Volume of claims closed under the CRA which were approved	Annual	Section K

Annex 2: Periodic quality assurance checks

Below are the quality assurance checks ORR carry out on Operators' data every period. Please ensure you have checked your data against these checks prior to submission to ORR. This should reduce the number of data errors identified by ORR, and therefore re-submissions required by Operators.

Section A

A1). Grand total (row 80) must equal the sum of all complaint categories excluding praise.

A2). Grand total (row 80) must be equal to, or more than, the number of complaints closed (row 17) in section B.

Section B

B1). Total number of complaints closed (row 17) must be less than or equal to tab Section A Grand total (Section A, row 80);

B2). Complaints responded to (rows 11, 12, 13 and 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 the 'Percentage of complaints responded to within 10 working days' (row 13).

B4). The internal target (row 12) must be filled in for every periodic submission.

Section C

C1). Reasons for each AAT (rows 7 to 10) should sum up to the total volume of AAT used (row 6).

C2). The rail replacement service total (row 9) should match the rail replacement metric in row 15

C3). The sum of the type of rail replacement AAT used (rows 16-18) should equal the rail replacement service total (row 15).

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).

G2). If there are any values paid out for price guarantee refunds (row 13) there must be at least one application received and granted (rows 11 and 12).

Section H

H1). Volume of claims closed within period (row 7) should not change throughout the year once submitted. If your data does change, please explain the reasons in your report submission;

H2). Volume of claims approved within period (row 8) must be less than or equal to the volume of claims closed within period (row 7);

H3). Volume of claims approved within period (row 8) should not change throughout the year once submitted. If your data does change, please explain the reasons in your report submission;

H4). Percentage closed within 20 working days (row 9) should not change throughout the year once submitted. If your data does change, please explain the reasons in your report submission;

H5). Average response time (row 10) should not change throughout the year once submitted. If your data does change, please explain the reasons in your report submission;

Section I

I1). Volume rejected (row 8) must be equal to or lower than claims closed (row 7)

I2). Claims approved and redress provided (row 9) must be equal to or lower than claims closed (row 7)

l3). Claims approved, but redress could not be provided metric (row 10) must be equal to or lower than claims closed (row 7)

Section J

J1). Volume of claims closed under the CRA which were approved (row 7) must be less than or equal to the volume of claims closed under the CRA (row 6).

Annex 3: Publication of statistics

ORR publish both complaints and delay compensation statistics every quarter on our data portal (within the passenger experience section).

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'.

The Core Data will also be used for ORR's Annual Consumer Report. The purpose of the Annual Consumer Report is to inform industry stakeholders of licence holders' (e.g. Network Rail and train operators) performance in key passenger areas.

Annex 4: ORR guidance for categorising COVID-19 related complaints.

This annex provides guidance for how operators should classify COVID-19 related complaints. This will help ensure consistency with complaints reporting across all operators. This information is also available within the complaints mapping document sheet within the Core Data reporting template.

This annex may be updated throughout the year if new COVID-19 related scenarios emerge or in response to feedback from operators or users of the data.

Type of Covid related complaint	Where it should be categorised (shown as: level 2 > level 3 category)
Complaints about insufficient room on the train to enable compliance with social distancing rules. For example, this could include complaints about social distancing on trains.	Quality on Train > Sufficient room for all passengers to sit/stand.
Complaints about the cleanliness of the train. For example, this could include complaints about sanitization of the train.	Quality on Train > The cleanliness of the inside
Complaints about the cleanliness of the station. For example, this could include complaints about sanitization of the station.	Station Quality > Cleanliness
Complaints related to Covid health and safety issues. For example, this could include complaints about passengers not wearing face coverings or enforcement of face coverings.	Safety and Security > Your personal security on board or Safety and Security > Your personal security whilst using station

Type of Covid related complaint	Where it should be categorised (shown as: level 2 > level 3 category)
Complaints about policy regarding face coverings. For example, passengers making complaints about having to wear face coverings.	Company policy > Other policy
Complaints about refunds due to Covid. For example, complaints about season ticket refunds due to Covid.	Company policy >Ticketing and refunds policy

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