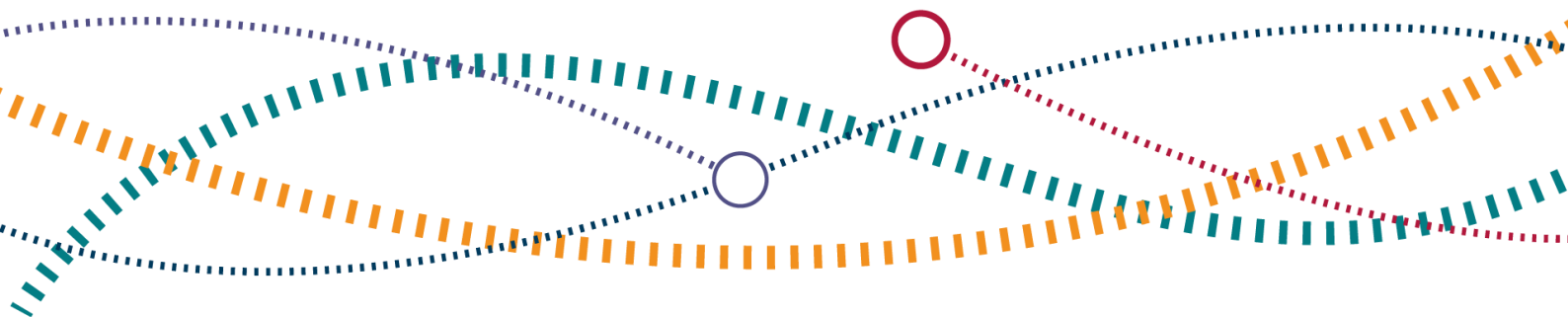




Reference guide for ORR Core Data compliance reporting – Version for station only operators or non-scheduled passenger services

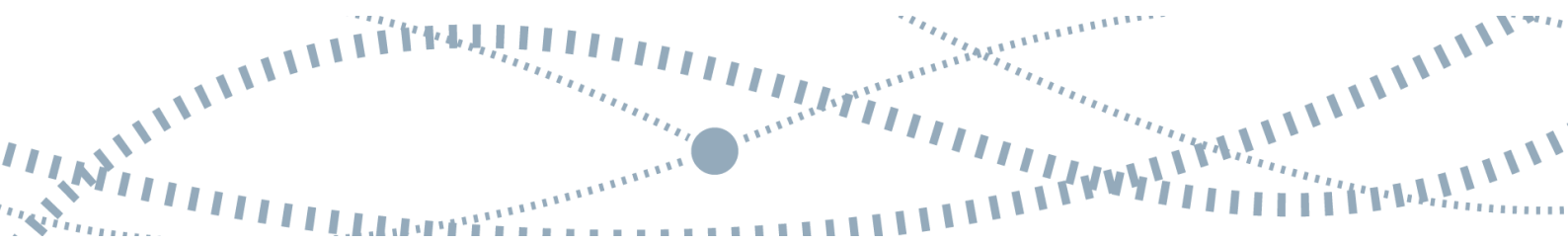
2022-23

18 March 2022



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1. Introduction

Purpose of the document

This guidance has been produced to support station only or non-scheduled passenger services with submitting the Core Data reporting template. This refers to those licensees that were the subject of our Licence Outliers consultation process and at the conclusion of which were deemed to be within scope of regulation and required to supply ORR with ongoing compliance monitoring Core Data. This document effectively sets out what data they are required to provide and the technical guidance on how to collect the data and the frequency with which it should be reported.

A summary of the Core Data requirements for station only or non-scheduled passenger services 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 for station only or non-scheduled passenger services 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. 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.

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 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.

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.

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.

3. Section B - complaints

This section records complaint volumes and response times to those complaints. Section B fulfils station only or non-scheduled passenger services CHP indicator 1, and 2.

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 (row 7)

| Metric | Contact method | P1 | P2 | P3 |
|-----------------------------------|----------------|----|----|----|
| Total number of complaints closed | | | | |

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 (row 7).

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 (row 7). 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 (row 6)

| Metric | Contact method | P1 | P2 | P3 |
|--|-------------------------|----|----|----|
| Percentage of complaints responded to within 20 working days | All contact methods (%) | | | |

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 – row 7). 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.

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 |
|--|--|
| <p>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.</p> <p>The report should be reported as closed once the first full substantive response is issued.</p> | <p>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.</p> |

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:

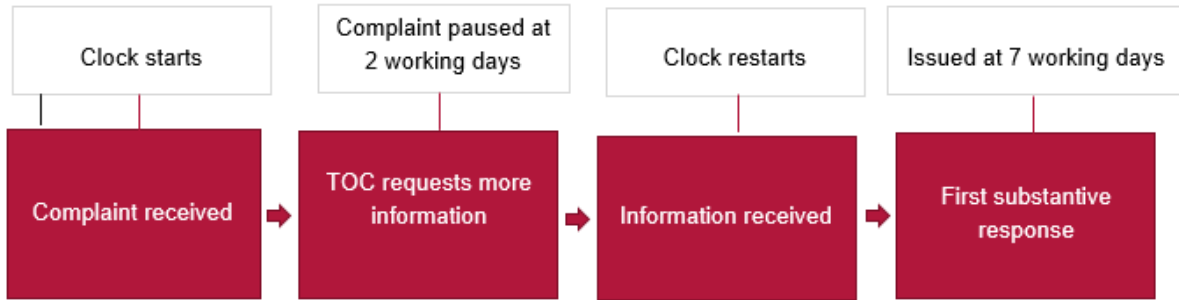
| Metric | Contact method | P1 |
|--|-------------------------|---------|
| Percentage of complaints responded to within 20 working days | All contact methods (%) | 100.00% |
| Total number of complaints closed | | 1 |

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.



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.

Reporting timescales

To be submitted bi-annually with P7 and P13 data

4. Section A – complaint categories

This section categorises the type of complaints which were closed in section B. This fulfils station only or non-scheduled passenger services CHP indicators 3 and 4, as well as ATP indicator 8.

| Level 1 Category | Level 2 Category | P1 | P2 |
|---------------------|----------------------|----|----|
| All Contact Methods | Accessibility issues | | |
| All Contact Methods | Complaints handling | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |
| All Contact Methods | | | |

Complaints on accessibility issues and complaints handling must be reported

Operators should submit their own complaint categories below

Categorisation of complaints

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

Reporting example

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

| Level 1 Category | Level 2 Category | P1 |
|---------------------|----------------------|----|
| All Contact Methods | Accessibility issues | 1 |
| All Contact Methods | Complaints handling | 1 |

Mandatory complaint categories

There are two mandatory categories that must be submitted. These categories are **accessibility issues** and **complaints handling** and for this reason have already been self-populated within the template.

Inserting your own complaint categories

In order to reduce the burden on licence holders the remaining complaint categories will be collected based on the licensee's own categories. The license holder should populate the rest of the section A table with their own complaint categories.

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.

Complaints mapping table

Within the data template there is a complaints mapping table sheet. This gives examples and guidance for the complaint categories that ORR currently publish for mainline operators. Please feel free to look at these categories and adapt them to your reporting if helpful.

During 2020-21 ORR issued guidance on how to categorise Covid-19 type complaints. This guidance can be found in annex 3 of this document and within the complaints mapping document for 2022-23 reporting.

Reporting timescales

To be submitted bi-annually with P7 and P13 data.

5. Section D – booked and unbooked assistance

This section records the detail on both booked and unbooked assisted journeys. It fulfils station only or non-scheduled passenger services ATP indicator 7.

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 | |
| 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 (row 6)

This is the volume of booked assistance requested. This figure will be the sum of both metric B – volume of booked assistance completions (row 7) and metric C – volume of booked assistance incomplete. For example, if there were 20 booked assistance completions, and 5 booked assistance which were incomplete, then the total for metric A would be 25 volume of booked assistance.

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 of.

Reporting timescales

To be submitted bi-annually with P7 and P13 data.

6. 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 station only or non-scheduled passenger services CHP indicator 5.

Continuous improvement in complaints handling

| Number | Complaint category | P1-P13 volumes | Commentary |
|---------|--|---|--|
| Example | Example of complaint topic: e.g. Provision of information on website or mobile apps | Section A complaint volumes for each category | Example: 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 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).

P1-13 volumes

The complaint categories and 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. 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.

7. Rail Passenger Rights and Obligations Regulation

Rail Passenger Rights & Obligations Regulation

The [Rail Passenger Rights & Obligations \(PRO\) Regulation](#) enhances and strengthens the rights of rail passengers particularly in the areas of information and ticketing provision, compensation and assistance, and provides rights for disabled persons and persons with reduced mobility.

The PRO Regulation came into law in Great Britain (GB) in 2009. The PRO consists of core and non-core Articles – the core Articles have applied to the GB's domestic and international rail transport services since December 2009. The Government exercised the power under the PRO to temporarily exempt GB's domestic railways from all of the non-core Articles. The domestic exemption in relation to the non-core Articles expired on 3 December 2019. This now means that passenger operators including charter train operators, are required to publish an annual Service Quality Report (SQR) (see Article 28 of the PRO Regulation) as a requirement of their operating licence (Condition 3: Passenger Rights).

In order to support operators with the production of the SQR, ORR has provided the following guidance on the indicators to be included within the reports, taking a proportionate approach with charter operators. This will help ensure consistency in reporting between operators.

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

Service Quality Report publication

SQRs should be published on operators' own websites 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.

Whilst operators are free to select the presentational format of their SQR as appropriate to their business, in most cases we expect that the report will be presented as either a webpage or as a downloadable pdf.

Service Quality Report content

This section of the guidance sets out the content that each SQR must include. To reduce the reporting burden for Charter Operators, where possible we have selected the recommended sources for each indicator to align with the ORR [core data reporting](#) requirements.

Information and tickets

| Report content | Recommended source |
|--|--|
| Provision of travel information during the journey | Operators' own qualitative information, this may cover on-board services and security & safety issues. |

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

a) Disruptions

| Report content | Recommended source |
|---|--|
| Existence and short description of contingency plans, crisis management plans | Operators' own qualitative information |

Cancellation of services

| Report content | Recommended source |
|--|--|
| % cancellation of services as part of all services | Performance data from TRUST. If there were no cancellations during the reporting year, this should be indicated within the report. Operators may supplement any quantitative metrics with additional explanatory text. |

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

| Report content | Recommended source |
|--------------------|---|
| Cleaning intervals | Operators' own qualitative information of cleaning intervals of rolling stock and where applicable, station facilities of managed stations which are in scope of the PRO. |

Customer satisfaction survey

| Report content | Recommended source |
|------------------------------|---|
| Customer satisfaction survey | Operators' own qualitative information on its customer feedback. This should include a description of customer feedback or themes of complaints received in the reporting year. Operators should also provide details of its continuous improvement activities, and how it has actively used and applied learning from complaints and feedback. |

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

| Report content | Recommended source |
|----------------------------------|--|
| Procedure in place | Operators' own qualitative information of how complaints are handled. This may include a link to operators' Complaint Handling Procedure where applicable. |
| Number of complaints and outcome | * Operators may use the data from its ORR core data submission: Section B volume of complaints closed. |

| Report content | Recommended source |
|--|--|
| Categories for complaints | * Operators may use the data from its ORR core data submission: Section A - complaint categories. |
| Received complaints | * Operators may use the data from its ORR core data submission: Section B - volume of complaints received. |
| Processed complaints | * Operators may use the data from its ORR core data submission: Section B - % of complaints responded within 20 working days. Operators may also publish their own internal target if they wish. |
| Average response times | * The average response time to close complaints. |
| Possible improvement action undertaken | * Operators may use the data from its ORR core data submission: Section E – continuous improvement in complaints handling. |

Assistance provided to disabled persons and persons with reduced mobility

| Report content | Recommended source |
|-------------------------------|--|
| Assistance procedure in place | Operators' own qualitative information on how assistance is provided, this may include a link to the operator's Accessible Travel Policy. |
| Number of cases of assistance | 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:

* Indicator meets Article 27 (Complaints) PRO reporting requirements

8. 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 rail periods 7 and 13.

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 within the data template.

Quality assurance checks

ORR carry out periodic quality assurance checks on all data received. We will contact Operators 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: Summary of Core Data requirements for station only or non-scheduled passenger services

CHP indicators:

| Indicators | Reporting frequency | Sheet name in template (if applicable) |
|--|----------------------------------|--|
| 1. Total number of complaints closed | Bi-annual (with P7 and P13 data) | Section B |
| 2. Percentage of complaint cases responded to within specified targets | Bi-annual (with P7 and P13 data) | Section B |
| 3. Total number of complaints received by complaint category | Bi-annual (with P7 and P13 data) | Section A |
| 4. Complaints about the complaint handling process | Bi-annual (with P7 and P13 data) | Section A |
| 5. Measuring continuous improvement in complaint handling | Annual | Section E |

ATP indicators:

| Indicators | Reporting frequency | Sheet name in template (if applicable) |
|---|----------------------------------|--|
| <p>6. Staff who have received relevant disability awareness training or disability equality training</p> <p><u>DISCONTINUED: No longer collected for Core Data from 2020-21.</u></p> | N/A | Section F |
| <p>7. Assisted travel - sub categories (a) to (f)</p> <p>a). Volume of booked assistance</p> <p>b). Volume of booked assistance completions</p> <p>c). Volume of booked assistance incomplete, and reasons for each incomplete assistance</p> <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 <p>d). Volume of unbooked assistance (Turn Up and Go) requested</p> <p>e). Volume of unbooked assistance (Turn Up and Go) completed</p> <p>f). Volume of unbooked assistance (Turn Up and Go) incomplete, and reasons for each incomplete assistance (below)</p> <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 | Bi-annual (with P7 and P13 data) | Section D |
| <p>8. Volume of accessibility related complaints</p> | Bi-annual (with P7) | Section A |

| Indicators | Reporting frequency | Sheet name in template (if applicable) |
|-------------------|----------------------------|---|
| | and P13 data) | |

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 B

B1). Total number of complaints closed (row 7) must be less than or equal to tab Section A Grand total;

B2). Percentage of complaints responded to within 20 working days' (row 6) and total number of complaints closed (row 7) should not change throughout the year (since they are based on complaints closed). Any revisions must be explained during your submission;

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 booked assistance (row 6) should sum to the volume of booked assistance completions (row 7) plus the volume of booked assistance incomplete (row 8).

D4). 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).

Annex 3: Publication of statistics

The Core Data may be published in ORR's annual data tables. This is in line with our approach to similar data reported by train operating companies, which are published each quarter and can be found on our [data portal](#) (within the passenger experience section). The data may also be included in 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) |
|--|---|
| <p>Complaints about insufficient room on the train to enable compliance with social distancing rules.</p> <p>For example, this could include complaints about social distancing on trains.</p> | <p>Quality on Train > Sufficient room for all passengers to sit/stand.</p> |
| <p>Complaints about the cleanliness of the train.</p> <p>For example, this could include complaints about sanitization of the train.</p> | <p>Quality on Train > The cleanliness of the inside</p> |
| <p>Complaints about the cleanliness of the station.</p> <p>For example, this could include complaints about sanitization of the station.</p> | <p>Station Quality > Cleanliness</p> |
| <p>Complaints related to Covid health and safety issues.</p> <p>For example, this could include complaints about passengers not wearing face coverings or enforcement of face coverings.</p> | <p>Safety and Security > Your personal security on board</p> <p>or</p> <p>Safety and Security > Your personal security whilst using station</p> |

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



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