"Measuring up" – Annual Rail Consumer Report

June 2016

Contents

Executive summary

1. The Office of Rail and Road (ORR) is the UK's rail regulator and strategic roads monitor for England.

2. This report covers our consumer role, which has two parts. The first part looks at the conditions in the passenger and station licences that we grant to train operators and/or Network Rail. These conditions require:

    ■   the provision of information to passengers to assist with journey planning, including during times of disruption;

    ■   the provision of access and travel assistance for disabled and other vulnerable passengers; and

    ■   an effective and accessible process for managing passenger complaints.

3. The second part covers consumer law requirements that are applicable to train operators. This particularly relates to the sale of tickets and the provision of information on consumer rights, such as information provided to passengers on compensation schemes for train delays.

4. Our overall strategy in carrying out this consumer role is:

    ■   to ensure there is a clear evidence base, in particular by improving the range and quality of data provided to us by train operating companies and Network Rail. This enables us to monitor the companies' performance over time;

    ■   to strengthen incentives for companies to deliver for their passengers by putting more information into the public domain and by doing this in a more systematic way;

    ■   to engage with train operators, the Rail Delivery Group (RDG) and Network Rail on an ongoing basis, to seek improvements. We see this approach as more likely to improve the passenger experience than to rely primarily on formal enforcement; and

    ■   through the engagement process, to provide guidance on what is required, to challenge, to agree actions and check compliance and to share best practice through the publication of information and feedback to train operators.

5. This is our first report on this topic. Its main purposes are to increase transparency, demonstrate good practice and highlight areas for improvement.

6. For three reasons, this is an interim report. First because it is in part the result of our work with the industry to establish a comprehensive and enduring monitoring framework in the two areas of access and assistance and complaints handling. There

was little data on these areas when we took over this role[1] and our new data currently only covers April to September 2015, and where possible up to December.[2] Next year's report will include data for a full year.

7.   Secondly we have also published recently our response to a super-complaint from the consumer body Which? on passenger compensation for train delays. For this reason we have not covered passenger compensation here, but in next year's report we will cover the follow up to the super-complaint in full.

8.   Finally, we recognise that our consumer work does not cover many of the key issues for passengers. For example, it is the responsibility of the franchise authority to set certain standards for the quality of customer service that passengers receive. We will be working with franchise authorities to access their data to provide a more rounded picture. Where necessary we also plan to work with the industry, funders and representative bodies, to carry out data audits to ensure that the information provided to us is robust. However, this first report lays the foundation for this to be an ongoing annual publication that will expand and encompass data from other sources hereafter.

9.   We use a standard template to show how each train operator is fulfilling its obligations to passengers. Since train operators vary significantly in size, market served and business model, we have provided contextual information about the operating environment for each company. For Network Rail - which owns and operates 18 of Britain's largest and busiest stations - Part 4 sets out separately how it fulfils its obligations to passengers under its station licence.

Information for passengers

10.   Train operators and Network Rail are delivering on their commitments to help ensure that passengers receive timely, accurate and accessible information to plan and make their journey, particularly when train services are disrupted. Over half of the industry actions committed to have already been delivered, on time, with the remainder also forecast to be achieved on time.

11.   While progress has been made in many areas(e.g. improved information on websites, mobile apps, and alerts) we now need to understand whether these improvements are making a difference to passengers. The recent publication of the first wave of the Association of Train Operating Companies (ATOC) passenger research on how passengers now experience the provision of information during

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[1] ORR took over responsibility for Disabled Peoples' Protection Policies (DPPP) and Complaints Handling Procedures (CHPs) from the Department for Transport in October 2013.

[2] Where available from existing publications on the ORR Data Portal, we have included historic data on key indicators to show long-term trends. This particularly relates to the number of complaints received by train operators and their response times.

disruption has shown that information provision is still rated as poor, particularly when given at stations. However, the findings indicate that satisfaction is more closely linked with the length of the delay rather than the information provided.

12.   In terms of next steps:

- the industry now needs to review this first wave of research and assess the extent to which passengers are benefiting from the work already completed. This assessment should consider where greater resource, increased pace of change or additional short-term action may be required;

- we will carry out our own analysis of the data underlying this new research to understand what further conclusions can be drawn from this;

- we expect to see the ATOC passenger research continue in its current form but with a larger, more targeted sample so that robust data is published for individual train operators; and

- we will continue to track progress on the delivery of the remaining industry actions through the governance and monitoring arrangements established by ATOC.

Access and travel assistance for disabled passengers

13.   The volume of passengers using the Passenger Assist service to make bookings for assistance from station and train staff to help them complete their journey has been gradually increasing. This shows that both train operators and Network Rail are responding to passenger demand in this area.

14.   The numbers of passenger complaints received by train operators about accessibility are generally low and all train operators have carried out some staff training on disability and accessibility over the course of the year, with several operators undertaking large scale training programmes.

15.   However, there is more to do to ensure that all companies have up to date and approved Disabled People's Protection Policies (DPPPs) in place and that the industry is actively monitoring and assessing the quality and consistency of the assistance that is provided to passengers. Therefore, in terms of next steps and areas of focus in the coming year we intend to:

- continue reviewing train operators' DPPPs and aim to complete the process for the whole industry by September 2016;

- publish best practice principles to assist with the development of DPPPs;

- conduct in-depth reviews over the coming year to check that licensees are fully complying with their published DPPPs;

- develop monitoring to assess the quality of the assistance being provided to passengers;

- better understand the current level of passenger awareness of the assistance that is available to them; and

- consider whether there may be particular issues for those passengers with specific impairments, for example where information on websites may not be accessible to the visually impaired.

Complaints handling

16. There has been a steady decline in the number of complaints made by passengers to train operators (measured per 100,000 journeys) since 2002-03. This is encouraging and may in part reflect the growing trend for passengers to use social media channels to get complaints resolved quickly and often in real time. Complaints are a valuable source of information and insight and we see examples of companies acting to identify and resolve the wider underlying service issues that passenger complaints can uncover.

17. However, not all companies consistently meet the target of responding to 95% of complaints within 20 working days, as set out in our Guidance on Complaint Handling Procedures. We have been working with those that are experiencing problems in this area to agree what steps they are taking to remedy this.

18. Our work on the recent super-complaint on passenger compensation indicated that many train operators do not distinguish between how they manage a passenger complaint and a claim for compensation. Our joint research[3] with Transport Focus on rail passenger delays and compensation also shows that satisfaction with the speed in which compensation claims are processed is low. Given this, there is a need for greater understanding of passenger satisfaction and the overall service currently being provided in this area. This will be achieved through our complaints handling satisfaction survey that assesses the experience of passengers who have recently made a complaint to a train operator.

19. In terms of next steps we will:

- continue to review train operators' Complaints Handling Procedures to ensure consistency with new guidance published on this in 2015 and aim to complete the process for the whole industry by September 2016;

- produce shortly our quarterly statistical report *Passenger rail service complaints statistical release*, covering January – March 2016;[4]

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[3] Expected to be published in July 2016.

[4] http://orr.gov.uk/statistics/published-stats/statistical-releases

- publish the initial industry-level results of our complaints handling satisfaction survey alongside our Passenger rail services complaints statistical release on 15 December 2016;

- write to train operators who have not yet begun participating in this satisfaction survey to remind them that until they do so, or alternatively provide us with equivalent monitoring data, they will not meet their obligations under the Complaints Handling Procedures guidance. These operators will need to decide which option to take by the end of June; and

- publish the first full tranche of train operator-level data from our complaints handling satisfaction survey in the next edition of this report.

Consumer law

20. In the area of consumer law, we have focused on our ongoing work on ticket vending machines. While millions of tickets are purchased using ticket vending machines without obvious problems being encountered it is equally clear that further improvements in the information provided by such machines - such as clearer information on ticket restrictions and less use of industry terminology or jargon - would assist passengers in making the best decision when buying tickets.

21. In order to address some of these issues, ATOC has been working in parallel with train operators and ticket vending machine suppliers on introducing new industry-wide systems, which will improve the quality of data available to train operators in areas such as route descriptions and ticket validity.

22. ATOC has also developed a *10-point improvement plan* which is aimed at delivering or facilitating improvements to ticket vending machines in the next three to six months.

23. While some progress has been made (e.g. better use of signage and on screen information to advise passengers that a wider range of tickets may be available from ticket offices), there remains more to do to ensure that ticket vending machines are capable of providing passengers with the service that they require.

24. In terms of next steps:

- we will continue to engage with the Government, ATOC, individual train operators and other key stakeholders to understand what more can be done in the short-term to deliver improvements (including through the ATOC 10-point improvement plan);

- we will include in this what needs to be done to ensure that the improvements to industry data and systems and the additional functionality that these offer to train operators are fully taken advantage of by all parties; and

■ we will use alternative methods, such as mystery shopping and/or audits where individual train operators do not appear to have a good understanding of passenger requirements in this area and, where necessary, clear improvement plans in place.

25. Finally, we expect train operators and Network Rail to actively monitor and assess their own performance in all these key areas of passenger service. The information that we have presented here is important to both provide assurance that licensees have an understanding of how they are performing and also to identify necessary areas for improvement.

26. We welcome views on this interim report to assist us in the development of future publications.

Part 1 - Background

Introduction

27. The Office of Rail and Road (ORR) is the UK's rail regulator and strategic roads monitor for England.

28. This report covers our consumer role, which has two parts. The first part covers the conditions in the passenger and station licences that we grant to train operators and/or Network Rail. These condition require:

   ■ the provision of information to passengers to assist with journey planning, including during times of disruption;

   ■ the provision of access and travel assistance for disabled and other vulnerable passengers; and

   ■ an effective and accessible process for managing passenger complaints.

29. The second part covers consumer law requirements that are applicable to train operators. This particularly relates to the sale of tickets and the provision of information on consumer rights such information provided to passengers on compensation schemes for train delays.

30. Our overall strategy in carrying out this consumer role is:

   ■ To ensure there is a clear evidence base, in particular by improving the range and quality of data provided to us by train operating companies and Network Rail. This enables us to monitor the companies' performance over time;

   ■ To strengthen incentives for companies to deliver for their passengers by putting more information into the public domain and by doing this in a more systematic way;

   ■ To engage with train operators, the Rail Delivery Group (RDG) and Network Rail on an ongoing basis, to seek improvements. We see this approach as more likely to improve the passenger experience than to rely primarily on formal enforcement; and

   ■ Through the engagement process, to provide guidance on what is required, to challenge, to agree actions and check compliance and to share best practice through the publication of information and feedback to train operators.

31. There are a number of other bodies and devolved institutions that also have a role. These include the Department for Transport, which is responsible for setting the overall strategy for the rail industry in England and Wales. It funds investment in infrastructure through Network Rail, awards and manages rail franchises, and regulates rail fares.

32. In addition, Transport Focus provides a strong advocacy and influencing role in helping to resolve individual passenger complaints. They represent passengers' interests on broader issues such as Network Rail's periodic review. They provide insight and evidence on key passenger issues that enable us to work with the industry to deliver improvement which they can then assess to provide external validation of progress.

Purpose and scope

33. This is our first report on this topic. Its main purposes are to increase transparency, demonstrate good practice and highlight areas for improvement.

34. For three reasons, this is an interim report. First because it is in part the result of our work with the industry to establish recently a comprehensive and enduring monitoring framework in the two areas of access and assistance and complaints handling. There was little data on these areas when we took over this role[5] and our new data currently only covers April to September 2015, and where possible up to December.[6] Next year's report will include data for a full year.

35. Secondly we have also published recently our response to a super-complaint from the consumer body Which? on passenger compensation for train delays. For this reason we have not covered passenger compensation here, but in next year's version we will cover the follow up to the super-complaint in full.

36. Finally, we recognise that our consumer work does not cover many of the key issues for passengers. For example, it is the responsibility of the franchise authority to set certain standards for the quality of customer service that passengers receive. We will be working with franchise authorities to access their data to provide a more rounded picture. Where necessary we also plan to work with Transport Focus and other representative bodies to carry out data audits to ensure that the information provided to us is robust. However, this first report lays the foundation for this to be an ongoing annual publication that will expand and encompass data from other sources hereafter.

37. We use a standard template to show how each licence holder is fulfilling its obligations to passengers. Since train operators vary significantly in size, market served and business model, we have provided contextual information about the operating environment for each company. For Network Rail - which owns and

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[6] Where available from existing publications on the ORR Data Portal, we have included historic data on key indicators to show long-term trends. This particularly relates to the number of complaints received by train operators and their response times.

operates 18 of Britain's largest and busiest stations - Part 4 sets out separately how it fulfils its obligations to passengers under its station licence.

38. Where a train operator is operating a relatively new franchise we have provided information available at the time of publication, recognising (where necessary) that work is underway to achieve a more complete picture in their reporting. We have not included information from operators of smaller heritage railways at this time but will consider whether they should be included in future reports.

Super-complaint on passenger compensation

39. On 21 December 2015 the consumer body Which? submitted a super-complaint to ORR entitled "*Compensation arrangements in the market for passenger rail services*".

40. The super-complaint concerned passengers' awareness and experience of claiming compensation from train operators as a result of train delays. We published our response[7] to the super-complaint on 18th March and for this reason we have not discussed passenger compensation in this report.

Overview of the rail industry

Network Rail

41. The national rail network (track and related infrastructure) is owned and operated by Network Rail. It derives its revenue primarily from charges levied on train operators for access to its network and stations, and from a direct financial 'network grant' from the government.

42. Network Rail also owns and operates 18 of Britain's largest and busiest stations - including 10 stations in London. Part 4 of this report sets out how Network Rail is fulfilling its obligations to passengers under its station licence.

Franchised passenger train operators

43. A rail franchise is a contract between government or a public authority and a train operator to run services within a specified geographic area or route for an agreed period of time.

44. Franchises are awarded through a bidding process where the franchising authority specifies the length of the franchise, service schedules and performance standards,

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[7] Rail compensation super-complaint response report: http://orr.gov.uk/info-for-passengers/complaints/rail-compensation-super-complaint.

and other requirements such as the passenger compensation scheme that it considers should be in place for passengers within that franchise.

45. There are currently 15 franchises operating in England and Wales and two in Scotland. In Part 3 we look at how each franchised passenger train operator is fulfilling its regulatory obligations to passengers. This information is presented in the format of a template for each licence holder.

46. Since train operators vary significantly in size, market served and business model, we have provided contextual information about the operating environment for each company. This includes the period of their franchise, the route operated and the passenger demand for their service.

Concession train operators

47. A concession involves an agreement between government or a local authority and a train operator to supply rail services. The main difference from a franchise is that the train operator is paid a fee to run the service rather than relying on revenue from the passengers or government subsidy. Typically, revenue raised is passed back to the public body that appointed the concession. Concessions are usually very tightly specified, using incentive or penalty regimes (based on meeting certain targets) to encourage good performance. Examples of concessions currently operating in the rail market are:

■ Merseyrail, which runs services for Merseytravel, the body that manages integrated transport in and around Liverpool: and

■ London Overground Rail Operations Limited (LOROL) which runs services on six routes that, together, form an Outer London orbital network and TfL Rail (operated by MTR Crossrail) which runs services from Liverpool Street to Shenfield, both appointed by Transport for London (TfL).

48. In Part 3 we look at how each concession train operator is fulfilling its regulatory obligations to passengers. This information is presented in the format of a template for each licence holder.

Open access train operators

49. Open access operators do not operate services under a franchise or a concession agreement but they are authorised by ORR to have access to the network on certain routes for a specified amount of time. There are currently three open access operators: Grand Central and First Hull Trains (which operate a small number of services on specified routes in competition to the franchisee on the East Coast main line) and Heathrow Express which runs services from Paddington to Heathrow Terminals. Together they represent less than 1% of passenger miles.

50.   In Part 3 we look at how each open access train operator is fulfilling its regulatory obligations to passengers. This information is presented in the format of a template for each licence holder.

Other non-franchised operators

51.   Other examples of non-franchised operation include heritage railways, such as those using steam locomotives, and operating as tourist attractions.

Regulatory context

Our functions, powers and responsibilities

52. One of our core statutory functions is to grant licences for railway businesses. A licence (or in some instances a licence exemption) is required to operate a train, station, network or light maintenance depot. Our role is to ensure that passenger-facing operators understand and adhere to their licence requirements in this context so that passengers receive good quality and good value services.

53. We are also a designated consumer law enforcement authority.[8] A key piece of legislation in this area is the "Consumer Protection from Unfair Trading Regulations" (Consumer Protection Regulations or CPRs), which prohibit unfair and misleading commercial practices. We therefore have a role in ensuring that passengers are treated fairly, receive the information they need to make informed decisions and enjoy the rights to which they are entitled. In practice, consumer law requirements could arise in connection with ticket retailing where misleading, inaccurate or missing information could lead to consumers making inappropriate decisions for their circumstances.

Obligations that apply to licence holders

54. In both train operator passenger licences and the Network Rail station licence there are requirements relating to the provision of information to passengers; access and assistance for disabled passengers and an effective and accessible process for managing passenger complaints.

Information for passengers

55. In 2012, we introduced a new condition on the provision of information for passengers into train operator and station licences.[9] This condition requires train operators to provide appropriate, accurate and timely information to enable

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[8] Under the Enterprise Act 2002 (Part 8 Designated Enforcers: Criteria for Designation, Designation of Public Bodies as Designated Enforcers and Transitional Provisions) Order 2003, S.I. 2003 No. 1399, http://www.opsi.gov.uk/si/si2003/20031399.htm

The Department for Transport has a central role to play in the delivery/protection of passenger benefits through its operation and enforcement of franchises, as do other franchising authorities including Transport Scotland and the Welsh Government. Transport Focus and London TravelWatch also continue to have a significant role in assisting passengers and raising passengers' awareness of their rights. There are also other consumer bodies such as the Advertising Standards Authority which can intervene to protect passengers – by policing the self-regulatory advertising industry codes. ORR's approach to its consumer law role is to avoid overlap and to, therefore, intervene only where there is a gap in protection for the passenger, where no other body is taking action or where the powers available to us are more suited to the circumstances.

[9] This endorsed ATOC's code of practice for passenger information during disruption, available from www.atoc.org

passengers and prospective passengers to plan and make their journeys with a reasonable degree of assurance, including when there is disruption to their journey. Network Rail is required in its station licence to cooperate with train operators so far as reasonably necessary to enable them to meet these obligations to provide information to passengers.

56. To be compliant with its passenger train licence each train operator needs to publish a code of practice setting out how it will provide information to passengers, including during disruption. Most train operators use the Association of Train Operating Companies (ATOC) Code of Practice for Passenger Information During Disruption.[10] In order to comply with this the train operator must produce a local plan which gives details of how it intends to meet the requirements set out in the code of practice.

57. In 2014 we commissioned Passenger Focus (now known as Transport Focus) to undertake research to see whether passengers had noticed any improvement on information provision. Its September 2014 report[11] raised concerns that improvements were not being seen by passengers in a number of areas. In response, the industry took the recommendations from the report and developed its own action plan to address them. This was endorsed by the rail industry National Task Force.

58. The action plan includes 50 recommendations (called industry actions) which train operators and Network Rail have committed to deliver. Around half of the industry actions were due for delivery by mid-2015, but where some require changes to industry systems these will take longer to implement. We are monitoring the delivery of these remaining actions via the ATOC programme of work in this area.

59. Part 3 of this report shows the delivery status of these industry actions for each train operator, with a particular focus on a number of key passenger-facing actions. While many of the industry actions are to be delivered by the train companies, a number are specifically related to Network Rail. We report on Network Rail delivery of these in Part 4 of the report.

Access and travel assistance for disabled passengers

60. Train operators and Network Rail are required by their passenger and station licences respectively to establish and comply with a Disabled People's Protection Policy (DPPP) which is approved and monitored by ORR. This policy sets out how train operators and Network Rail ensure that passengers with disabilities are able to use the railway, and receive the help and assistance they may need to do so. In

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[10] ATOC Approved Code of Practice 15 – issue 4, July 2014 http://www.atoc.org/latest-publications/

[11] *Passenger Information when trains are disrupted,* Passenger Focus, September 2014 and available from http://www.transportfocus.org.uk/research/publications/passenger-information-when-trains-are-disrupted

approving these policies we aim to empower the confident use of the railway by disabled passengers.

61. Our 2009 guidance *How to Write Your Disabled People's Protection Policy*[12] sets out the requirements we expect licence holders to meet in this area. Each train operator produces a booklet *Making Rail Accessible: Helping older and disabled people*, which explains the types of assistance available to people when making their journey. Licence holders also produce a policy document that sets out their wider policies and strategies in this area, including train or station accessibility improvements which they may be planning.

62. Once we have approved a DPPP, we publish a letter summarising any issues that were raised during the approval process, noting areas of good practice, and highlighting areas for improvement. Transport Focus, London TravelWatch and the Disabled Person's Transport Advisory Committee (DPTAC) are consulted as part of our approval process. This report shows the status of individual train operators and Network Rail's DPPP review process (Part 3 and Part 4 respectively).

63. Our monitoring framework for DPPPs includes the review of core data (the data we collect and the specific regulatory provisions they relate to can be found in Annex 3); passenger complaints; input from DPTAC, Transport Focus and London TravelWatch as well as other relevant insight and information (e.g. primary research). This report presents an illustration of individual train operators and Network Rail's performance against selected highlights of core data from the reporting period April – September 2015 (Part 3 and Part 4 respectively).

Complaints handling

64. Train operators and Network Rail are required by their passenger and station licences respectively to establish and comply with a procedure for handling complaints relating to licensed activities from customers and potential customers. This procedure is known as the Complaints Handling Procedure (CHP) and it is approved and monitored by ORR.

65. In September 2015, we published new guidance[13] on *Complaints Handling Procedures for Licence Holders*. This followed consultation with the industry. The new guidance updates and expands on the previous guidance and is designed to support licence holders in:

   ■ providing an easily accessible complaints handling service to customers;

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[12] http://orr.gov.uk/what-and-how-we-regulate/consumers/consumer-policy/disabled-peoples-protection-policy

[13] ORR's guidance on complaint handling procedures for licence holders is available at: http://orr.gov.uk/__data/assets/pdf_file/0020/19370/complaints-handling-procedure-guidance-2015.pdf.

- developing and maintaining sound customer-centric complaints handling protocols and practices;

- using data and evidence relating to complaints to drive through service improvements; and

- understanding how we will regulate in this area.

66. The new guidance took effect from 30 September 2015. There is currently a transitional period while licence holders review their CHPs and submit them to us for approval under the new guidance. Licence holders' current CHPs will remain in force until their new CHP has been approved. We publish approved CHPs on our website alongside an approval letter highlighting areas of good practice and innovation.

67. This report shows the status of individual train operators and Network Rail's CHP approval process (Part 3 and Part 4 respectively).

68. Our monitoring framework for CHPs includes the review of core data (the data we collect and the specific regulatory provisions they relate to can be found in Annex 3); passenger complaints; input from Transport Focus and London TravelWatch as well as other relevant insight and information (e.g. primary research). This report presents an illustration of individual train operators and Network Rail's performance against selected highlights of core data from the reporting period April – September 2015 (Part 3 and Part 4 respectively).

Consumer law

69. Train operators, and others who sell train tickets or provide other services connected with the railways, are subject to general consumer law. This includes the law that prohibits unfair and misleading commercial practices[14] which, put simply, requires that consumer are provided with the information they need to make informed decisions.

70. To help train companies understand and comply with these obligations, we worked with them during 2014 to develop a Code of Practice (the Code) on retail information. The Code, which was adopted by train companies and published by ATOC in March 2015,[15] sets out the information that is important to passengers when choosing, buying and using train tickets.

71. This includes information about the price, any restrictions on use (such as the time, route, or train operator), and key rights such as compensation and refund arrangements. It also sets out some principles of good practice for the presentation

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[14] http://www.legislation.gov.uk/uksi/2008/1277/contents/made

[15] http://www.atoc.org/download/clientfiles/files/publicationsdocuments/2015-03_retail_information_CoP.pdf

of this information to ensure that it is provided usefully to passengers and allows them to act on it.

72. Following the adoption of the Code in March 2015, we wrote to train operators,[16] asking them what they were doing, or intended to do, to ensure compliance with the Code and the law that underpins it.

73. Based on the responses, we published an update report in September 2015,[17] which set out findings and next steps. One of the key areas where we identified that significant improvement was required was in relation to the information provided by self-service ticket vending machines (TVMs).

74. We wrote again to train companies in October 2015 asking for information to help us understand precisely what gaps and key challenges remain, and to get a more detailed understanding of what it is that individual operators and other industry parties are aiming to achieve, how, and by when.

75. The questions we asked focused around the areas identified in our September update report, namely:

   ■   use of jargon terminology;

   ■   provision of information about available products;

   ■   provision of information about ticket restrictions and validities;

   ■   timing of Off-Peak sales; and

   ■   filtering of search results e.g. on the basis of price.

76. Part 3 of this report presents the information we received in response under the headings above, for each train operator.

Our regulatory tools

77. We undertake a range of activities to help train operators and Network Rail understand and meet their regulatory obligations. In some areas we seek to clarify terminology, explain obligations in more detail or consider how regulatory requirements apply to new circumstances. We use a variety of tools to help licensees comply with their regulatory obligations. This may include the publication of guidance, regulatory statements or through input to industry codes or procedures. Examples of specific tools that we have used are set out in Annex 2 below.

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[16] http://orr.gov.uk/__data/assets/pdf_file/0017/18017/compliance-monitoring-and-retail-information-2015-05-08.pdf

[17] http://orr.gov.uk/__data/assets/pdf_file/0004/19192/Retail-Info-cop-update-nextsteps.pdf

78. As well as providing guidance and support to assist with compliance, we are committed to transparent engagement with industry stakeholders. This is in line with our "no surprises" approach to regulation. Stakeholder engagement can take the form of workshops, one to one meetings and conversations and/or email correspondence.

79. While we aim to engage with the industry, funders and rail users by bringing all parties together to find remedies to emerging issues and concerns, there are times, particularly in relation to compliance with regulatory and legal obligations, when issues are specific to individual licensees.

80. We use a range of methods to hold licence holders to account. We often apply our influence by intervening to highlight and address issues before formal action is necessary, for example through:

   ■ monitoring and data analysis;

   ■ informal and formal review meetings;

   ■ investigation of complaints;

   ■ letters to licence holders; and

   ■ public statements.

81. Where we have evidence to suggest that train operators or Network Rail are not complying with their regulatory obligations we will follow this up with the licensee concerned. We will focus our resources and priorities on systemic issues or one-off events of material significance and those aspects of compliance which are most important to passengers, funders and where non-compliance would cause most harm.

82. This applies equally to compliance with licence conditions and consumer law where we are a designated consumer law enforcement body. This gives us the power to take action under Part 8 of the Enterprise Act 2002, in cases where we have evidence of harm to the collective interests of consumers.

Social media

83. Social media has become an important channel through which the rail industry engages with stakeholders. Most companies now have dedicated, ever growing social media teams. Having a mode of communication that is quick, easy and relatively accessible has many advantages for both passengers and industry. In this sense, social media can serve a multitude of functions for both parties.

84. For passengers, it can be empowering by giving them access to real-time journey information, access to information about their rights, and allow passengers to make

general enquiries, ask for assistance or make a complaint and receive an immediate response.

85. It can also be advantageous to train operators and Network Rail by giving them immediate feedback on issues occurring in their stations, on the network or on train services. It also provides an opportunity to build long-term intelligence about their customer base and use it to develop and improve their products and services in line with their customers' preferences and expectations. Some of our own analysis, coupled with anecdotal feedback from train operators, also suggests that industry's ability to resolve issues at first point of contact via social media may be one reason why we have seen a gradual steady decline in overall complaints in recent years. This is a positive development for both passengers and industry.

86. For this reason, we have sought to encourage and support the rail industry's use of social media across the consumer areas we regulate. At the same time, we need to ensure that passengers are receiving the same level of consumer protection that they benefit from the more traditional modes of communication. The updated CHP Guidance that we published in 2015 is a good example of this. It sets out how licensees should treat feedback received via social media platforms[18] to ensure that a passenger who makes complaint via Facebook or Twitter is not treated differently from someone who makes a complaint via a letter or telephone call.[19]

87. Our social media working group[20] provides an informal forum for industry representatives to discuss the latest technological advancements and share ideas on best practice in social media stakeholder engagement strategy. It also gives us the opportunity to gather intelligence and comment on how these developments may affect passengers from a consumer protection perspective. We believe this type of 'soft' regulation is both proportionate and effective in giving the industry space to innovate and find its own solutions to improving communication with passengers via social media whilst at the same time ensuring it does not disadvantage them.

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[18] See Chapter 3 of ORR's 2015 CHP Guidance
http://orr.gov.uk/__data/assets/pdf_file/0020/19370/complaints-handling-procedure-guidance-2015.pdf

[19] Typically a passenger seeking to make a complaint via social media is directed to the main complaints handling process e.g. sent a link to an online webform.

[20] See 'Engaging passengers through social media' on this page for information about our social media working group: http://orr.gov.uk/consultations/closed-consultations/policy-consultations/policy-consultations-2011-2014/developing-minimum-core-data-for-monitoring-operators-chp-and-dppp-performance

Part 2 - Overall findings and next steps

Information for passengers

88. Almost all operators have now published their Passenger Information During Disruption (PIDD) local plans which set out how they will provide information to passengers at times of disruption. They also include a statement of progress of their delivery of the industry actions. This transparency is important in providing passengers and key stakeholders with confidence that train operators are committed to delivering the improvements that they have identified in these plans.

89. Over half of the industry actions have now been delivered on time by train operators. Of the remaining actions, some are not due for completion until March 2019.

90. One action is to undertake cross-industry research to determine how passengers now experience the provision of information during disruption. This is in the form of a passenger survey and is currently live. A link to it[21] is provided on the National Rail Enquiries website as part of its incident reporting. ATOC has published the findings of the first wave of this research[22] (discussed further below).

91. Other actions which have been delivered by the majority of train operators include:

   ■ explanations on the cause of delay and any knock on effects, including estimates of incident duration in disruption messages;

   ■ journey alert services that tell passengers that their service is disrupted before they get to the station;

   ■ manual announcements (at stations and on trains) during disruption;

   ■ accurate and timely information on websites and mobile apps to allow passengers to plan accurate or revised journeys;

   ■ announcements to passengers within two minutes when the train comes to an unscheduled stop between stations.

92. Industry actions that involve significant expenditure or require multiple parties to reach a common position have proved more difficult to deliver. One of these is the recording of automated announcement messages for station information systems to allow them to include more detailed reasons for train delays. The new reasons have been introduced by many train operators in their free text messaging on Twitter and websites and this change will ensure that continuity is maintained at stations. However, the cost of updating systems across four suppliers has proved to be

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[21] Passenger information survey may be accessed at:
http://survey3.accentmr.com/D4/2908m.aspx?urn=opensurveyNRwebsite

[22] Passenger Information During Disruption (PIDD) research, wave 1 findings available at:
http://www.raildeliverygroup.com/what-we-do/publications/108-pidd.html

expensive and so this change is dependent on industry parties reaching agreement to assist with the funding of this work.

93. While progress has been made there is work still to do to address all of the remaining industry actions and deliver further improvements for passengers.

94. The first wave of the quantitative passenger research was carried out by ATOC between early December 2015 and the end of February 2016 to look at how passengers now experience the provision of information during disruption. To account for the fact that rail disruption is subject to seasonal variation, ATOC's research is intended to be ongoing with four waves of fieldwork planned each year. This research is a significant step forward in terms of monitoring as it will provide a reliable benchmark against which future changes in passenger satisfaction can be tracked and measured.

95. The results of the first wave of research[21] (Figure 1) concluded that the overall rating of how train operators deal with delays/cancellations is generally poor, with twice as many negative ratings as positive. Overall, just over a quarter (26%) felt that the train operator handled the delay/cancellation very or fairly well compared to more than half (54%) who felt it was handled very or fairly poorly.

Figure 1 - Overall rating of how well the train company dealt with the delay or cancellation (Base: 5,755)

Source: ATOC
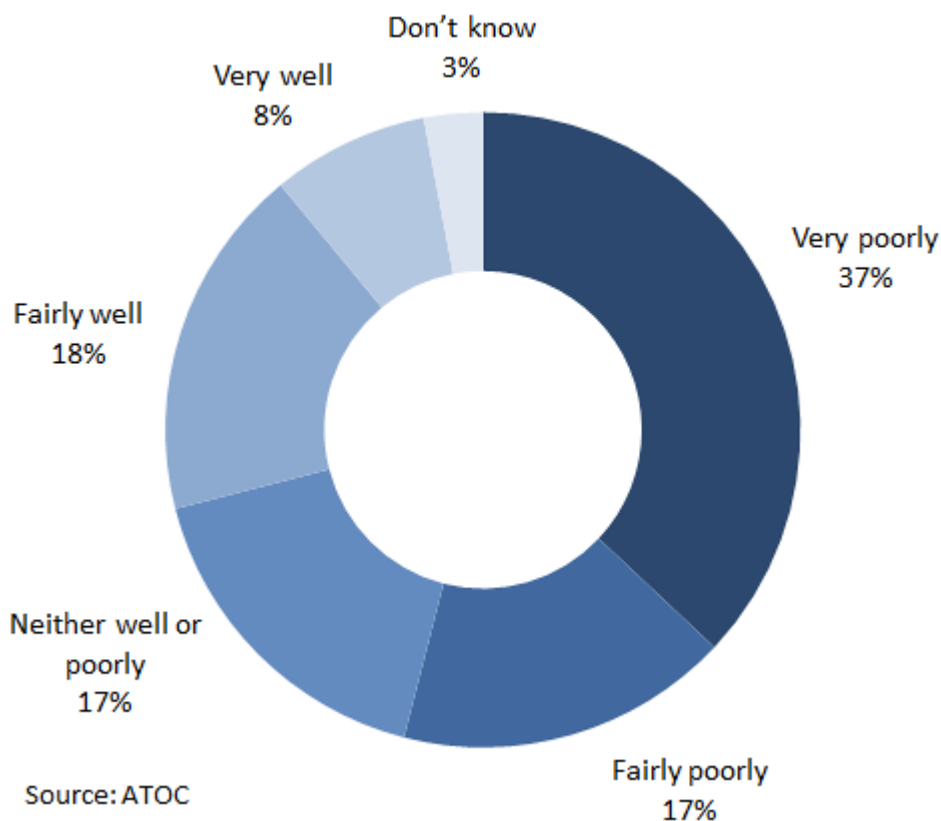
96. However, the findings indicate that satisfaction is more closely linked with the length of the delay rather than the information provided. The research also found that information provision is rated as poor particularly when given at stations. The areas of information provision that need most attention are:

■ ease of understanding the information provided;

■ relevance of the information provided;

■ the delivery style; and

■ consistency of the information provided.

97. Although the methodologies are not directly comparable, we note that the ATOC research could suggest a possible decline in passengers' assessment of the handling of disruption when measured against similar research conducted by Transport Focus in 2014[22]. That research found that 34% of passengers felt that the train company handled the disruption very or fairly well compared to 29% who felt it was handled very or fairly poorly.

98. However, it is also the case that rising passenger expectations, influenced by changing technology and the experience of customers in other sectors, may impact on any assessment of progress in this area. Future waves of the ATOC survey should provide a more accurate assessment of whether overall performance is improving or declining over time.

Next steps

99. The industry now needs to review this first wave of research and assess the extent to which passengers are benefiting from the work already completed. Given that a number of actions (e.g. in relation to information provision at stations) are not due to be delivered until March 2019, there is now a need to actively consider where greater resource, increased pace of change or additional short-term action may be required. We will also carry out our own analysis of the data underlying this new research to understand what further conclusions can be drawn from this.

100. We expect to see the ATOC passenger research continue in its current form but with a larger, more targeted sample so that robust data can be published for individual train operators - without this it is difficult to focus on specific concerns of passengers. We have previously said that we require greater transparency and accountability to be achieved at this level.[23] This will allow us to hold individual licensees to account. It will also enable the industry to identify best practice by highlighting the best performers.

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[23] http://orr.gov.uk/__data/assets/pdf_file/0008/18386/2015-07-07-industry-letter-re-pidd-progress.pdf

101. We will continue to track progress on delivery of the remaining industry actions through the governance and monitoring arrangements established by ATOC. We will continue to assure ourselves that this monitoring is robust, as well as undertaking our own assessments of the impact that this work is having on passengers.

Access and travel assistance for disabled passengers

102. Since April 2015, we have been working with individual train operators to review and approve their Disabled People's Protection Policies (DPPPs). So far we have reviewed and approved 8, have 10 currently under review, while 3 operators are still to submit their DPPP to us.

103. We have identified a number of good practices when reviewing train operators' DPPPs, including:

- the provision of free parking for Blue Badge holders;
- refunds if booked assistance is not provided as requested;
- a reduced amount of notice needed to book assistance when travelling on some operators' services;
- the use of priority seat cards; and
- the development of maps showing step-free station facilities.

104. One train operator has introduced a mobile app for booking assistance and another has redrafted both of their DPPP documents to make them simpler and easier to read.

105. In 2015, we began collecting new core data from train operators in the area of DPPPs, including the indicators which we report on in this publication, which are the:

- number of assisted journeys booked by passengers via Passenger Assist;
- proportion of complaints concerning accessibility;
- number of staff who undertook disability awareness training; and
- volume of alternative accessible transport (such as taxis) pre-booked on the train operator's network.

106. Providing this data is an important way in which train operators can demonstrate that they are complying with their obligations towards disabled passengers set out in our guidance *How to Write Your Disabled People's Protection Policy*.

107. The first of these, Passenger Assist, is a service provided by train companies to disabled and vulnerable passengers who require assistance with any part of their train journey. Staff can help with planning a journey, booking tickets and making reservations; they can also provide assistance at stations and on-board trains. The

service is free and available to anyone who needs assistance due to a disability, temporary impairment, or older age. No railcard is required.

108. Data in Figure 2 below shows that almost 1.1m assistances were booked for the past 12 months up to rail period[24] 7 2015-16, up by 12.4% compared to the same time period the year before. Also, each year the demand for travel assistance is greater around Christmas time, with a sharp fall in January and February. The volume of assisted journeys booked increases from March onwards and throughout the summer, which ATOC suggests may correlate with school holidays and warmer weather.

Figure 2 - Number of assisted journeys booked by passengers, by rail period
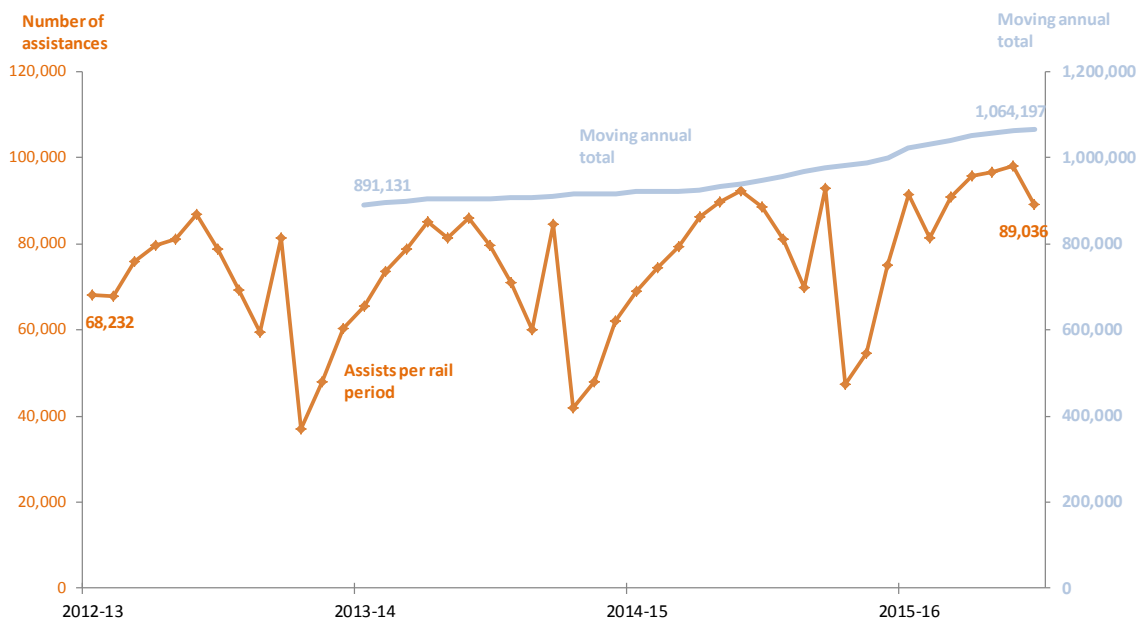
Source: ATOC

109. The number of complaints concerning accessibility is generally low, typically less than 2% of the total number of complaints received. Complaints data is one important source of intelligence, both in terms of volumes and trends, but also where a single complaint can indicate a larger underlying issue.

110. We expect train operators' and Network Rail staff to receive relevant disability awareness training - including senior managers and frontline staff - to ensure that they can provide the necessary level of service to enable disabled passengers to travel by rail confidently. In addition, all frontline staff who need to use equipment to assist passengers with disabilities must undertake appropriate training. Staff who

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[24] See paragraph 137 for definition of a 'rail period'.

deal directly with passengers or who answer telephones should also be trained in communicating clearly with people with differing needs.

111. All train operators have reported that they have carried out some staff training on disability and accessibility over the course of the year, with several operators undertaking large scale training programmes. Seven operators provided training both as part of the induction process and refresher training for existing staff. Nine operators provided training as part of the induction process for new starters only, while for four it was unclear whether training was for new or existing staff.

112. To ensure that all train operators can demonstrate that they are meeting requirements in this area, in March 2016, we provided guidance on how to record the training that their staff have undertaken so that this can be reported consistently. This will provide a more complete picture of how train operators are ensuring that they provide an adequate level of service to passengers.

Next steps

113. We will continue reviewing train operators' DPPPs and aim to complete the process for the whole industry by September 2016. We are also keen to highlight good practices so that train and station operators can learn from each other. We plan to publish best practice principles on DPPPs later this year. We will also conduct some in-depth reviews over the coming year to check that licensees are fully complying with their published DPPP policies more generally.

114. Our monitoring of this area has improved in the last year since we began collecting and publishing data on the volumes of booked assistance being made by disabled travellers and tracking the number of Disabled Persons Railcard holders.[25] Nonetheless, some gaps still exist. For example, while we understand how many assistance bookings are made by disabled passengers within each rail period, recording of assistance 'completions' is sporadic. The ability to show that those passengers that book assistance then go on to receive that assistance is essential to assessing the performance of the current arrangements.

115. There then needs to be monitoring of the quality of the assistance being provided. This would give the industry, and its stakeholders, reassurance that disabled passengers are being provided with a level of service that is meeting their needs and expectations. Where issues or aspects of poor service are identified, it would establish an evidence base for developing improvements. In conjunction with ATOC we have agreed to co-host a dedicated industry event in July 2016 with all train operators to discuss these issues and agree a work plan to put in place effective monitoring arrangements over the coming months. Finally, previous research

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[25] ORR Data Portal, Disabled Persons Railcard (DPR) and assisted journeys data: https://dataportal.orr.gov.uk/browsereports/18.

indicated that many disabled people may not be aware that they can request assistance before making rail journeys.[26] We would like to better understand the current level of passenger awareness of the assistance that is available to them. As part of this we will consider whether there may be particular issues for those passengers with specific impairments, for example where information on websites may not be accessible to the visually impaired. We will take this forward and aim to put in place effective assessment in both areas by the end of this calendar year.

Complaints handling

116. Information presented in this report shows that the approval process of train operator's complaints handling procedures (following the introduction of the 2015 guidance) is ongoing. Since the beginning of 2016 we have approved five Complaints Handling Procedures (CHPs) and are currently reviewing nine.

117. The data supplied by train operators shows a steady decline in the number of complaints made by passengers to train operators (measured per 100,000 journeys) since 2002-03 (Figure 3). This is encouraging and may in part reflect the growing trend for passengers to use social media channels to get complaints resolved quickly and often in real time.

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[26] Transport Focus, "Passenger Assist", March 2014. [26] ORR, Disabled rail passengers' awareness of assistance from train operators, March 2014; http://orr.gov.uk/__data/assets/pdf_file/0011/11711/disabled-rail-passengers-awareness-research.pdf

Figure 3 - Complaints rate per 100,000 journeys
Great Britain quarterly data 1998-99 Q1 to 2015-16 Q2
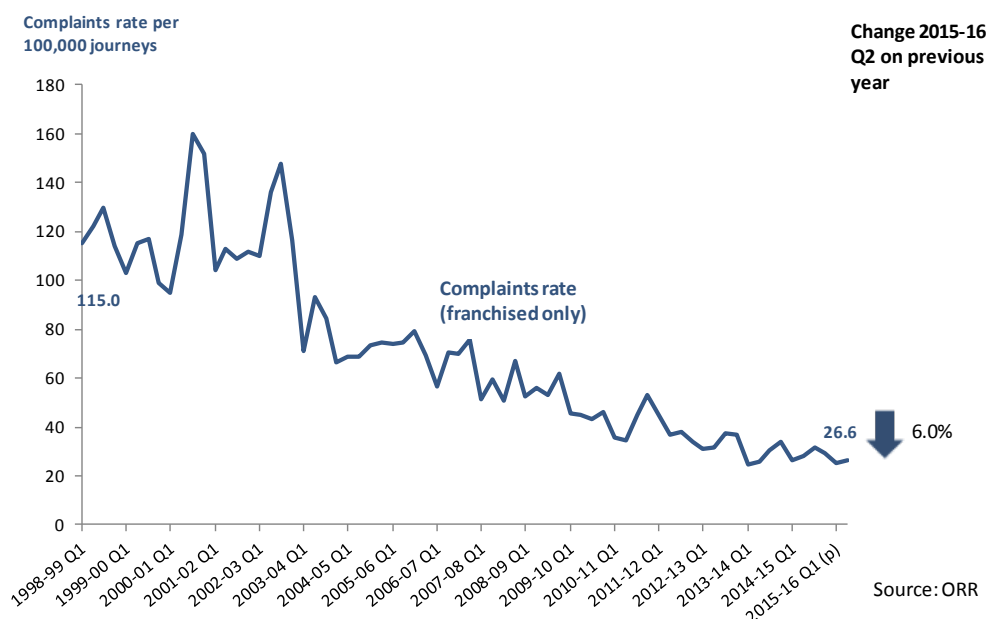
118. Under the CHP guidance train operators are expected to provide a full response to 95% of passenger complaints within 20 working days of receipt of the complaint. Data for April – September 2015 shows that a number of train operators are failing to respond to 95% of complaints within this period. Ten train operators report that they have consistently achieved or exceeded the target (i.e. responded to more than 95% of complaints within 20 working days). However, seven train operators have failed to do this with five responding to less than 90% of passenger complaints received within the 20 working day period.

119. Where the target is being missed, train operators are expected to inform us and the passenger bodies of:

■ the reason for the reduction in performance;

■ the expected duration of the drop in performance;

■ the plans in place to remedy the situation;

■ the measures to ensure that the quality of responses to passenger complaints is maintained; and

■ any steps taken to advise affected complainants of the situation.

120. We recognise that unexpected incidents can severely increase the volume of passenger complaints over a short period. However, we also expect companies to have in place a clear strategy to deal effectively with an unpredictable workload so that the required level of customer service can be maintained. We have been working

with those companies who are experiencing problems in this area to agree what steps they are taking to remedy this.

121. In addition to our CHP requirements of responding to 95% of complaints within 20 working days, the majority of train operators have set themselves more challenging response times. For example, some have an internal target of responding to 100% of complaints within 10 working days. The data shows that the majority of these train operators were able to respond to complaints within the more challenging times at least 75% of the time.

122. Our work on the recent super-complaint on passenger compensation indicated that many train operators do not distinguish between how they manage a passenger complaint and a claim for compensation. Indeed many passengers will combine a compensation claim and complaint in one communication to the train operator. Our joint research[27] with Transport Focus on rail passenger delays and compensation shows that satisfaction with all aspects of the compensation claims process is low. Those elements around train companies' efforts to make passengers aware of their compensation rights and the speed with which they process claims being the worst.

123. We have a developed a detailed work programme as a result of the super-complaint through which we will consider this further. Our complaints handling satisfaction survey (which forms part of our core data work-stream) will also evaluate how well train operators are managing passenger complaints and how satisfied passengers are with this process.

124. This year we started collecting information on the improvements that train operators have been making in the areas where they receive the greatest number of complaints. It is important that when passengers complain about a service that the train operator can learn from and respond to the issue so that all passengers can benefit from this process in the longer term. Some of the initiatives included :

- improvements made to train toilet facilities including deep cleaning and installation of air fresheners;
- new guidance for front line staff on how to deal with service disruption; and
- additional ticket vending machines in response to complaints regarding ticket buying facilities.

Next steps

125. We will continue reviewing train operators' CHPs and aim to complete the process for the whole industry by September 2016. We will also produce shortly our quarterly

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[27] Expected to be published in July 2016.

statistical report *Passenger rail service complaints statistical release*, covering January – March 2016.[28]

126. Our complaints handling satisfaction survey, which forms part of our core data work-stream, has been running since December 2015.[29] The output will provide information on how well train operators are handling complaints, and provide essential insight from which they can develop improvements to complaints handling processes. We will publish the initial industry-level results of this survey alongside our *Passenger rail services complaints statistical release* on 15 December 2016. We will then publish the first full tranche of train operator-level data in the next edition of this report.

127. Train operators participating in this survey are reporting that it is adding value for them, whilst providing data to us on how well they are handling complaints. However, we will shortly be writing to train operators who have not yet begun participating in the survey to remind them that until they do so, or alternatively provide us with equivalent monitoring data, they will not meet their obligations under the CHP Guidance. These operators will need to decide which option to take by the end of June.

Consumer law

128. Our recent work with train operators on the functionality of ticket vending machines shows that some progress is being made but challenges remain to deliver further improvements, particularly in the short-term. Table 1 below summarises the current industry position based on the information we received from train operators in response to our request for information in November 2015.

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[28] http://orr.gov.uk/statistics/published-stats/statistical-releases

[29] The survey is dependent on train operators providing our research agency with their complainants' contact data.

Table 1 - Summary of train operators' responses to ORR questionnaire

Use of jargon	The use of terms such as "London Terminals" and "Any Permitted" are still widely used without explanation – although some operators have started to provide additional information about the specific London stations to which the ticket applies or, where there is only one relevant London station, using the station name instead.
Provision of information about available products	The majority of ticket vending machines provide a limited range of tickets/products when compared to other points of sale. However, operators have now added signage to their machines, either to the exterior of the machine or on the screen, which tells passengers about these limitations and where to go (e.g. the ticket office) if they want to choose from a wider range of tickets, which might include cheaper alternatives.
Provision of information about restrictions and validities	The information that ticket vending machines provide about key restrictions, such as the time at which a ticket is valid or the route on which it is valid, still appears to be limited. However, some of the 'static' signage that has been applied to machines does include some of this information.
Timing of Off-Peak sales	The responses we received suggest that Off-Peak tickets go on sale, subject to local conditions, either a few minutes before the last Peak service departs, or very soon after – generally within 5 minutes.
Filtering of results	Ticket vending machines generally appear to list the results of a search by showing the relevant tickets for the journey requested, in order of price (low to high) but they do not have the functionality to allow passengers to subsequently filter – such as by journey duration.

129. In responding, train operators identified a number of challenges to making further changes in the short-term and/or in isolation. These included:

  ■ limitations of some of the hardware;

  ■ reliance on ticket vending machine suppliers for software updates;

  ■ limitations of industry data and systems; and

  ■ the need to agree common definitions and approaches across the industry.

130. In order to address some of these issues, ATOC has been working with operators and ticket vending machine suppliers on a number of work-streams, which includes the delivery of a new Product Management System (PMS) for the industry. This will

provide significant improvements in the quality of data available to train operators, in areas such as route descriptions and Off-Peak validities.

131. However, in order for this to feed through to material benefits to passengers, in terms of the information they see when using ticket vending machines, train operators and their suppliers will also need to deliver improvements to their own internal systems and processes.

132. In addition to PMS, ATOC has also developed its *10-point improvement plan* which is aimed at delivering or facilitating improvements in a range of areas in the next three to six months, including to address some of the issues identified above. This includes:

   ◾ cleansing of industry data to reduce the number of routes or tickets that cover the same journey;

   ◾ making the National Rail Enquiry (NRE) ticket restriction text feed available to suppliers;

   ◾ greater consistency across the national rail network as to when Off-Peak tickets are sold; and

   ◾ replacing 'stickers' on ticket vending machines with on-screen information about the products that are and are not sold at machines.

Next steps

133. While some progress has been made there is clearly more to do to ensure that ticket vending machines (or whatever technology might replace them), are capable of providing passengers with the kind of service that they expect.

134. We will continue to engage with the Government, ATOC, individual train operators and other key stakeholders to understand what more can be done in the short-term to deliver improvements (including through the ATOC *10-point improvement plan*). We will include in this what needs to be done to ensure that the improvements to industry data and systems and the additional functionality that these offer to train operators are fully taken advantage of by all parties.

135. We will use alternative methods, such as mystery shopping and/or audits where individual train operators do not appear to have a good understanding of passenger requirements in this area and, where necessary, clear improvement plans in place.

Part 3 - Findings by train operator

Methodology

136. For each train operator we have provided both quantitative and qualitative data alongside relevant narrative. This show how each individual operator is fulfilling their obligations to provide information to passengers; access and travel assistance for disabled passengers and an effective and accessible process for managing passenger complaints.

137. For each train operator we have provided:

■ **Progress against the delivery of actions relating to improving passenger information during disruption** – we report on each train operator's progress towards completing their industry plans, with a focus on passenger facing actions such as the requirement to provide:

– explanations on the cause of delay and any knock on effects, including estimates of incident duration in disruption messages;

– journey alert services that tell passengers that their service is disrupted before they get to the station;

– manual announcements (at stations and on trains) during disruption;

– accurate and timely information on websites and mobile apps to allow passengers to plan accurate or revised journeys;

– announcements to passengers within two minutes when the train comes to an unscheduled stop between stations.

We report on this status as of January 2016 using data provided to us by ATOC.

■ **Contextual information** – this provides high level background information for each train operator including the period of their franchise, the route operated and the passenger demand for their service. This data is provided on an annual basis (therefore covers period 1 April 2014 – 31 March 2015) and comes from the existing information available on our Data Portal.[30]

■ **The status of the Disabled People's Protection Policy (DPPP) approval process** - Since April 2015 we have been working with train operators on an individual basis to review and approve DPPPs. We report on the status of this process for each operator.

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[30] https://dataportal.orr.gov.uk/browsereports/16

- **The status of the Complaints Handling Procedure (CHP) approval process** - Train operators currently review their CHPs and submit them to us for approval under guidance issued in 2015. We report on the status of this process for each operator.

- **Core data reports on performance under DPPPs and CHPs** - We monitor DPPPs and CHPs under a core data set. Data is shown as a time series for relevant indicators. Depending on the indicator, data is presented in financial year quarters up to Q2 2015-16 or in rail periods[31] up to rail period 7 2015-16. We report on the indicators shown in Table 2 below.

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[31] See paragraph 137 for definition of a 'rail period'.

Table 2 – Core data indicators

Indicator	What it measures
Complaints rate	The number of complaints the train operator received per 100,000 passenger journeys.
Percentage of complaints responded to within specified targets[32]	Percentage of complaints the train operator responded to within the required 20 working days. Percentage of complaints the train operator responded to within its own published target.[33]
Continuous improvement in complaints handling	High volume complaint areas and the corrective measures the train operator has taken to reduce the causes of these complaints.
Disabled passenger assistance requests (bookings)	The number of passenger assistance bookings each train operator has received in each rail period.
Percentage of complaints where there was a service problem relating to a passenger's disability	Accessibility related complaints as a percentage of the total number of complaints received.
Numbers of staff who have received relevant disability awareness training or disability equality training	Illustrates how active the train operator has been at ensuring its staff has received relevant training in these areas (e.g. is training only provided as part of a one off induction session or is there a process of continual training and awareness).
Provisions of Alternative Accessible Transport (AAT)	Illustrates how many times the train operator has provided AAT to passengers over the relevant reporting period (e.g. AAT being provided to a disabled passenger because the station they wanted to travel from was inaccessible to them).

■ **Consumer law and the use of ticket vending machines** - in this area we have provided an update on the progress that individual train operators are making in improving the information provision and usability of ticket vending machines (TVMs). We have specifically looked at the following areas:

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[32] The summary reports do not contain any social media-related complaints data. Because social media contacts are usually routed through licensees' traditional communication channels and it is from there that we monitor their performance.

[33] Where the licensee's own target is more challenging than the absolute minimum 20 working days target.

- elimination of jargon terms such as "London terminals", "Any permitted" and all abbreviated text e.g. "Anytime R" for "Anytime Return" or abbreviations of train company names;

- provision of information on products that cannot be purchased at a TVM via signage on the machine itself, the homepage and/or screen saver;

- provision of ticket restriction and validity information, such as the time, route and train operators validities;

- display of, and ability to purchase, off-peak (and super-off peak) fares; and

- The ability to filter results by price or time of travel, for example.

■ **Best practice** - where possible we have identified examples of positive practices being undertaken.

Guidance on how to read the templates

138. The example template below provides further guidance on how to read the data and information presented for each train operator, and how it relates to the relevant regulatory obligation for each area.

139. **It is important to note that the rail industry reports data on a periodic basis different to the widely recognised reporting cycles such as monthly or quarterly. A 'rail period' is normally 28 days, or four weeks, for business reporting purposes (Sunday to Saturday) and there are 13 rail periods in a financial year. The length of a rail period may differ at the end of the financial year, 31 March, and the beginning of the financial year, 1 April, to ensure that a break is made at 31 March.**

Example template

Complaints handling

Train operators currently review their CHPs and submit them to ORR for approval under the new ORR 2015 guidance. We update on the progress of this process here.

Complaints rate and complaint handling performance, by quarter
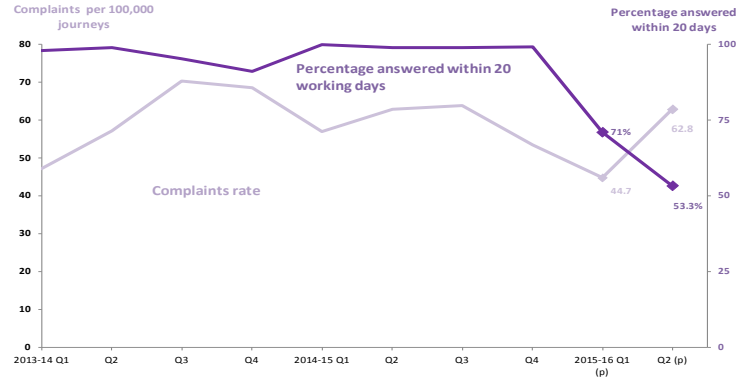
'Complaints rate' is part of the existing ORR reporting and it is published on ORR Data Portal (here). This is reported as time series covering data from Q1 2013-14 – Q2 2015-16.

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. This data is part of the existing ORR reporting and is published on ORR Data Portal (here). This is reported as a time series covering data from Q1 2013-14 – Q2 2015-16.

Train operators can also set themselves more challenging response times to reply to complaints. This data is published by ORR (here). This is reported as time series covering data from Q1 2013-14 – Q2 2015-16.

Top areas for improvement (rail period 1-7 2015-16)

1. Quality on train - sufficient room
2. Staff conduct and availability
3. Information during disruption
4. Passenger assistance
5. Lost property

This is a new metric introduced under Core Data covering rail periods 1-7 2015-16 which reports on key areas passengers have complained about to a train operator (showed in ascending order in terms of volumes). Where possible we have also provided an example of the type of action that train operators tell us they have undertaken to address them.

Access and assistance

Train operators currently review their DPPPs and submit them to ORR for review. We update on the progress of this process here.

Total volume of assisted journeys booked, by rail period
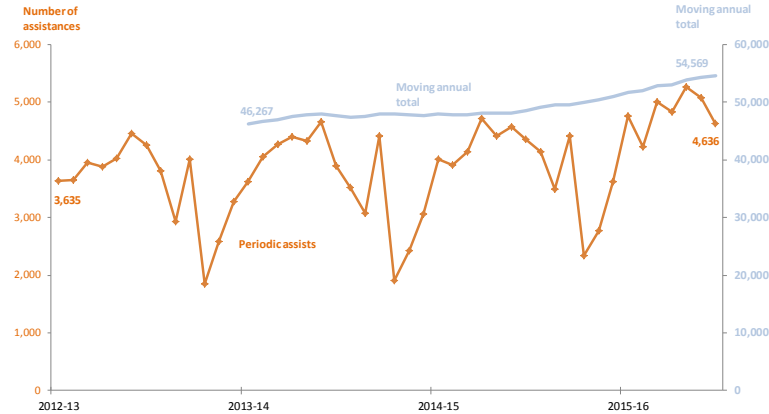
This is new data provided to us by ATOC. It shows the number of assisted journey bookings received by train operators over time. Chart shows volumes per rail period (covering rail period 1 2012-13 until rail period 7 2015-16), and yearly rolling totals to illustrate year-on-year trends.

This is a new metric introduced under core data which reports on the % of a train operator's complaints that relate to access and assistance related issues. This data covers rail periods 1-7 2015-16.

This is a new metric introduced under core data showing the number of staff who undertook disability and equality awareness training in rail periods 1-7 2015-16.

This is a new metric introduced under core data which shows volume of alternative accessible transport (such as taxis) provided for disabled passengers by train operators in rail periods 1-7, 2015-16.

Best practice example, where applicable.

Example template

Passenger information during disruption

This reports whether the train operator has its industry action plan published online. It also shows how many industry actions were completed on time and how many of the remaining actions are expected to be completed on time (noting that some are not due until March 2019).

Train operator PIDD action plan progress

58% actions **completed**

42% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by train operator
This information shows whether train operator provides estimates about how long the disruption will last (with Twitter example screenshot provided, if possible)
This shows if the train operator provides reasons for disruption in its messaging to passengers via Twitter and/or its website.
This reports on whether the train operator offers alerts about journey disruption to its passengers, via text message and/or email.
This informs whether the train operator provides manual announcements during disruptions at staffed stations (alongside automated ones) and on trains.
This reports on whether the action regarding the provision of service warnings for passengers during disruption is completed by the train operator.
This shows if the train operator makes announcements within 2 minutes when the train comes to a stop between stations.

👍 Best practice example, where applicable.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows information provided by train operators in November 2015 in response to ORR request for information regarding the key areas covered in the table and what can be, or is being, done to address some of the issues identified with TVMs.

Area	Position reported by train operator
Elimination of jargon terms	• This reports on the elimination of certain terms such as: "London terminals", "Any permitted" and all abbreviated text e.g. "Anytime R" for "Anytime Return" or abbreviations of train company names.
Information on product range	• This shows provision of information on products that cannot be purchased at a TVM on the homepage and/or screen saver if launched after a short period of inactivity.
Information on ticket restrictions	• This reports on the provision of ticket restriction and validity information, such as the time, route and TOC validities, alongside the price of the ticket.
Sale of off-peak fares	• Display of, and ability to purchase, off-peak (and super-off peak) fares within a window of the off-peak starting so that passengers arriving at the station before the off-peak starts are aware of their options.
Filtering of fares	• This reports on the ability to filter results by price or time of travel for example.

Individual train operator templates

![abellio greateranglia logo]

Owner group: Abellio

Operator: Abellio Greater Anglia

Franchise: Greater Anglia[34]

Franchise start and end date: 5 February 2012 – 15 October 2016

Routes operated: Greater Anglia operates local, suburban and express services from London Liverpool Street station to destinations in Essex, Hertfordshire, Cambridgeshire, Suffolk and Norfolk in the East of England

Number of employees: 3,118 employees in 2014-15

Number of operated stations: 167 stations in 2014-15

Volume of services: 143.4m passenger journeys in 2014-15

Financial information: Received a Government subsidy of £187.1m in 2014-15 , equivalent to 4.1 pence subsidy per passenger kilometre

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[34] Greater Anglia's franchise agreement is available on the Government website:
Best practice example, where applicable.
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/486675/Interim_Franchise_Agreement_Direct_Award.pdf.

Abellio Greater Anglia

Complaints handling

> Abellio Greater Anglia's Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
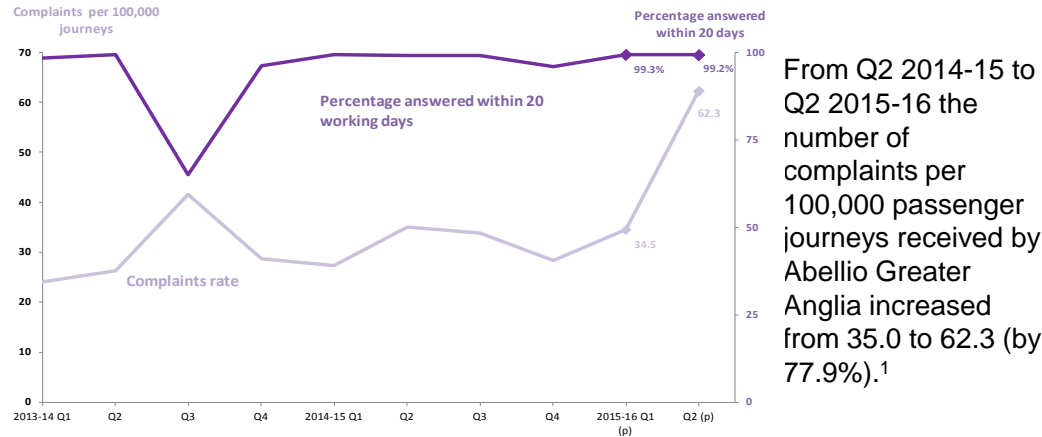
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Abellio Greater Anglia increased from 35.0 to 62.3 (by 77.9%).[1]

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, Abellio Greater Anglia responded to 86.4% of complaints within 20 working days. This increased in 2014-15 to 98.4%. In Q1 and Q2 2015-16 it responded to 99.3% and 99.2% of complaints respectively.

Abellio Greater Anglia has set itself a more challenging response time of 90% of complaints within 10 working days. In Q1 and Q2 2015-16 it responded to 94.8% and 90.9% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Ticket buying facilities - websales
2. Ticket buying facilities - ticket machines
3. Ticket and refund policy - Advanced tickets
4. Ticket buying facilities - wrong ticket sold
5. Quality on train - heating and air conditioning

Abellio Greater Anglia has identified a recurring theme in the top 5 areas for improvement as relating to non-receipt of m-tickets or e-tickets. It reports that it has enabled staff to provide additional support to passengers and print tickets at stations. Minor changes have also been made to improve the Stansted Express booking site.

Access and assistance

> Abellio Greater Anglia last had its Disabled People's Protection Policy (DPPP) reviewed in June 2015. The new East Anglia franchise will begin on 16 October 2016. We will engage with the successful bidder before the start of the franchise to ensure it has a DPPP approved in accordance with the passenger and station licence.

Number of assisted journeys booked, by rail period
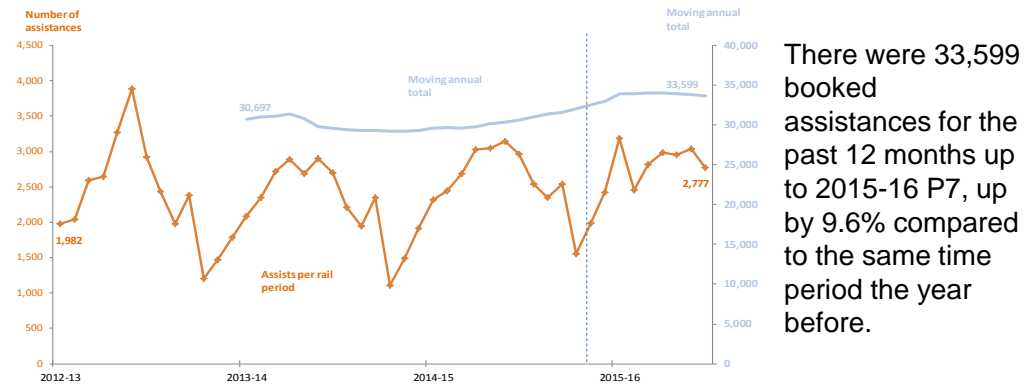
There were 33,599 booked assistances for the past 12 months up to 2015-16 P7, up by 9.6% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.5% in each quarter.

In rail periods 1-7 2015-16 244 staff received relevant disability awareness training. Of these, the majority (149) were trained as part of the induction process.

In rail periods 1-7 2015-16 Abellio Greater Anglia provided 272 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 39 bookings per rail period).

> Abellio Greater Anglia reports that it provides free parking at its station car parks for blue badge holders.

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[1] Data for Abellio Greater Anglia are not directly comparable due to the transfer of some services to London Overground and TfL Rail during 2015-16 Q1.

Abellio Greater Anglia
Passenger information during disruption

The Abellio Greater Anglia's industry action plan is available on-line (here) but difficult to locate on its website. It has completed on time 31 of the 48 industry actions with one action completed ahead of the deadline – Abellio Greater Anglia now provides announcements when the train comes to a stop between stations within two minutes. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[2]

Abellio Greater Anglia PIDD action plan progress

| **65%** actions **completed** | **35%** actions **remaining** (some not due until 2019) |

Key passenger-facing industry actions reported by Abellio Greater Anglia

Where possible, provides estimates about how long the disruption will last.
Provides reasons for disruption in its messaging, eg via Twitter (@greateranglia).
Provides alerts about journey disruption to its passengers via text message and email.
Has committed to provide manual announcements at the stations (alongside automated ones) and on trains by March 2017.
Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017.
Provides announcements within 2 minutes when the train comes to a stop between stations.
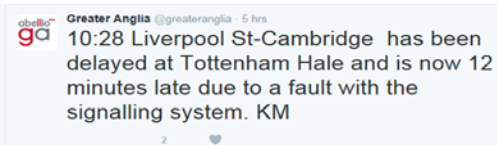
Greater Anglia @greateranglia
Follow

#Broxbourne - Services running through this station may be delayed by up to 10 minutes. Disruption is expected until 13:00. KB

5:41 a.m. - 16 Mar 2016

Greater Anglia @greateranglia · 5 hrs

10:28 Liverpool St-Cambridge has been delayed at Tottenham Hale and is now 12 minutes late due to a fault with the signalling system. KM

👍 Abellio Greater Anglia reports that 159 new LED screens were installed at rail stations across its network with an aim to display train running information in a clearer and easier to read format.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Abellio Greater Anglia in November 2015 in response to an ORR request for information.

Area	Position reported by Abellio Greater Anglia
Elimination of jargon terms	• TVMs currently use the types of jargon highlighted in our questionnaire – although these have been addressed in some instances, for example, "London Terminals" has been replaced, in some cases, by "London Liverpool Street", where this is the terminus. • Industry data feeds and limitations dictate how jargon is displayed and used.
Information on product range	• All railcard discounts, Family Travelcard, and DUO tickets are available from its machines. • Groupsave and Plus Bus tickets will additionally be available as soon as software upgrades have been made. • Information panels on its machines explain which tickets/products are/are not available from the TVM.
Information on ticket restriction	• Its fleet of TVMs consist of machines from two different manufacturers and that some of its machines already display restriction information, while others only display partial information. • It is working to introduce pop-up messages for all tickets that have an outward or return journey.
Sale of off-peak fares	• Some of its machines start selling Off-Peak fares a couple of minutes after the last Peak train is schedule sot depart, while others will sell them "a few minutes" after that service is due to depart, although it may be sooner where there is only a short gap between the last Peak and first Off-Peak service.
Filtering of fares	• TVMs present results for the relevant route, cheapest ticket first.

[2] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: Arriva

Operator: Arriva Trains Wales

Franchise: Wales and Borders[1]

Franchise start and end date: 8 December 2003 – 13 October 2018

Routes operated: Arriva Trains Wales runs urban and inter-urban passenger services to all railway stations in Wales, including Cardiff Central, Cardiff Queen Street, Newport, Swansea, Wrexham General and Holyhead, as well as to certain stations in England

Number of employees: 2,100 employees in 2014-15

Number of operated stations: 246 stations in 2014-15

Volume of services: 30.8m passenger journeys In 2014-15

Financial information: Received a Government subsidy of £101.9m in 2014-15, equivalent to 8.5 pence subsidy per passenger kilometre

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[1] Arriva Trains Wales' franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/389588/atw-franchise-agreement.pdf .

Arriva Trains Wales

Complaints handling

Arriva Trains Wales' Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
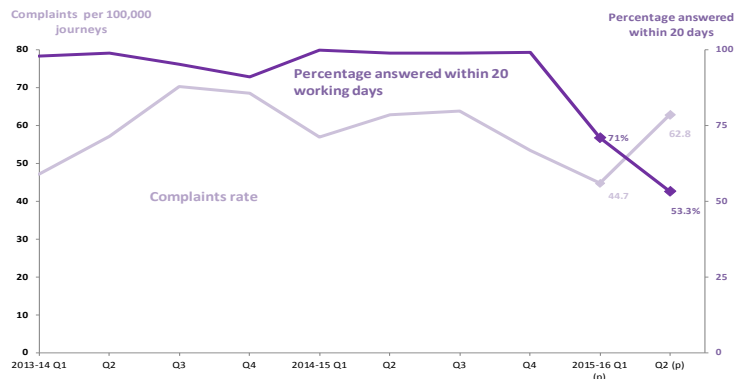
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Arriva Trains Wales remained broadly stable at 62.8.

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, Arriva Trains Wales responded to 95.5% of complaints within 20 working days. This increased in 2014-15 to 99.1%. In Q1 and Q2 2015-16 it responded to 71.0% and 53.3% of complaints respectively.

Arriva Trains Wales has set itself a more challenging response time to reply to complaints within 10 working days. In Q1 and Q2 2015-16 it responded to 32.6% and 16.8% of complaints respectively.

Top areas for improvement (rail periods 1-7 2015-16)

1. Quality on train - sufficient room
2. Staff conduct and availability
3. Information during disruption
4. Passenger assistance
5. Lost property

Arriva Trains Wales reports that passengers were unable to contact the lost property department due to the volume of items lost and low staff numbers in the lost property office. The process for call handling was reviewed and changed – passengers are now directed to a contact centre. Passenger calls now get answered every time and no complaints have been received since.

Access and assistance

Arriva Trains Wales had agreed to submit its Disabled People's Protection Policy (DPPP) for review by 31 March 2016. To date we have not received its full DPPP.

Total volume of assisted journeys booked, by rail period
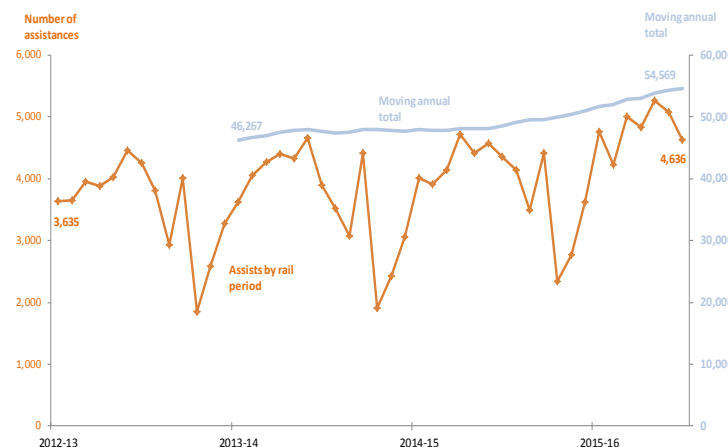
There were 54,569 booked assistances for the past 12 months up to 2015-16 P7, up by 12.4% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.1% in each quarter.

In rail periods 1-7 2015-16 71 staff undertook disability awareness training as part of their induction programme. The existing staff receive a refresher course on a 3 year cycle as standard.

Arriva Trains Wales provided a total of 99 alternative accessible transport journeys (such as taxis) for disabled passengers (14 bookings per rail period on average).

Arriva Trains Wales
Passenger information during disruption

The Arriva Trains Wales industry action plan is available on-line (here). It has completed on time 29 of the 48 industry actions. Of the remaining actions, all are expected to be completed on time but one (some not due until March 2019)[1]. Arriva Trains Wales is yet to introduce the more meaningful reasons for delays on station information screens.

Arriva Trains Wales PIDD action plan progress

60% actions **completed**

40% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Arriva Trains Wales

Where possible, it provides estimates about how long the disruption will last (@ArrivaTW).

Provides reasons for disruption in its messaging to passengers via Twitter and its website.

> **Arriva Trains Wales**
> @ArrivaTW   Follow
>
> #EasterWorks continue on the Cardiff and Valleys network. Pictured, a machine transporting panels at Cardiff Central

Provides alerts about journey disruption via email to its passengers.

Has committed to provide manual announcements during disruptions at staffed stations (alongside automated ones) and on trains by March 2017.

Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its website.

Since March 2016 makes announcements within 2 minutes when the train comes to a stop between stations.

👍 Arriva Trains Wales reports that it ran a "find out first" campaign which has increased use of its JourneyCheck alerts so that passengers can find out about disruption before they get to the station.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Arriva Trains Wales in November 2015 in response to an ORR request for information.

Area	Position reported by Arriva Trains Wales
Elimination of jargon terms	• Half of its TVMs are undergoing software upgrades. This will allow it to customise the information that is given to passengers and eliminate the use of confusing terms and railway jargon.
Information on product range	• TVMs offer a limited range of tickets for immediate travel and that alternative products (such as tickets for future journeys and cheaper tickets such as promotional fares) can be purchased through other channels. • It has attached signage to all of its TVMs to explain this but that, ultimately, its aim is to include this information on-screen during the sales process. • New back-office systems are planned for 2016 and will allow more control over what tickets are displayed and made available.
Information on ticket restrictions	• Half of its TVMs are undergoing software upgrades, which will allow it improve the information it provides to passengers about restrictions and validities.
Sale of off-peak fares	• See below.
Filtering of fares	• The planned software upgrade will help it ensure that Off-Peak, and other restricted, tickets are not presented to passengers if they are not valid.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators s due to funding issues.

c2c

Owner group: National Express Group

Operator: c2c Rail

Franchise: Essex Thameside[1]

Franchise start and end date: 9 November 2014 – 10 November 2029

Routes operated: c2c operates mainly from Fenchurch Street to Shoeburyness as well as Rainham and Ockendon within Essex and London

Number of employees: 706 employees in 2014-15

Number of operated stations: In 2014-15 c2c operated 26 stations

Volume of services: 40.8m passenger journeys in 2014-15

Financial information: Made a premium payment to the Government of £18m in 2014-15, which is equivalent to 1.7 pence per passenger kilometre

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[1] c2c's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/246422/c2c-interim-franchise-agreement.pdf.

c2c

Complaints handling

c2c's Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
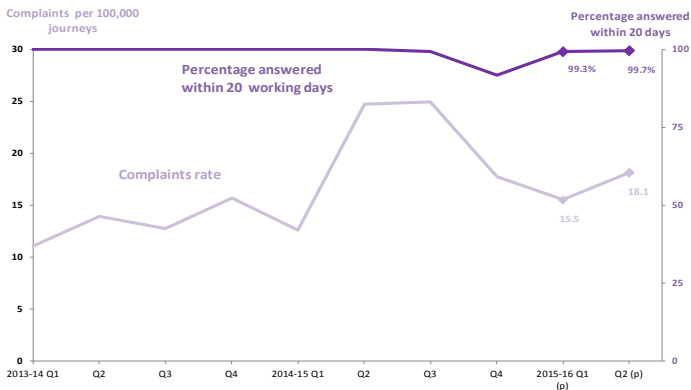
From Q2 2014-15 to Q2 2015-16) the number of complaints per 100,000 passenger journeys received by c2c decreased from 24.7 to 18.1 (by 26.7%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, c2c responded to 100.0% of complaints within 20 working days. This decreased in 2014-15 to 97.9%. In Q1 and Q2 2015-16 c2c responded to 99.3% and 99.7% respectively.

c2c has set itself a more challenging target of responding to 100% of complaints within 10 working days. In Q1 and Q2 2015-16 it responded to 98.3% and 98.3% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Ticket buying facilities -smartcards
2. Ticket and refund policy
3. Staff conduct & availability
4. Repsonsiveness to complaints
5. Ticket buying facilities -overall

The top complaint referred to queries relating to the use of the newly launched c2c Smartcard. The smartcard 'website area' was improved as an action to help c2c passengers understand the Smartcard and how it works . For example, it added an overview, 'user guide', and improved FAQs to the Smartcard website area.

Access and assistance

c2c' Disabled People's Protection Policy (DPPP) is currently being reviewed. This is likely to be completed in May 2016.

Number of assisted journeys booked, by rail period
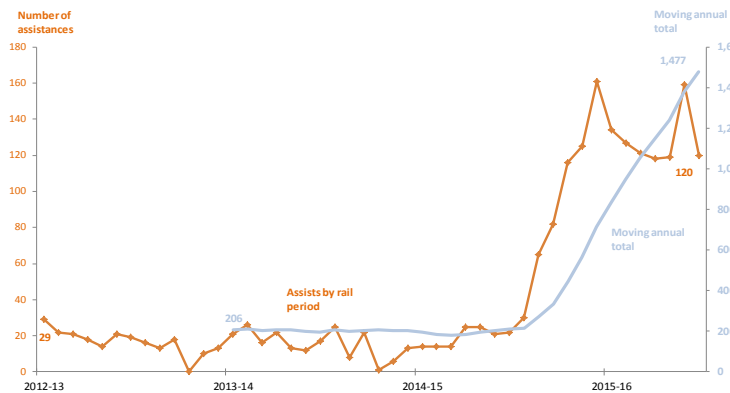
There were 1,477 booked assistances for the past 12 months up to rail period 7 2015-16, up by 603.3% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.4% and 0.7% respectively.

In rail periods 1-7 2015-16 456 staff members undertook disability awareness training as part of a company-wide 'What a Difference We Make' course. Also, 124 station staff undertook disability ramp training, and 21 new starters undertook disability awareness training as part of their corporate induction.

No alternative accessible transport journeys (such as taxis) were pre-booked during rail periods 1-7 2015-16. It is very rare that taxi are pre-booked on the c2c network due to most station platforms being accessible from the street.

c2c offers a refund of twice the cost of the journey if booked assistance is not provided. It has developed a c2c Live app so passengers can book assistance and notify staff that they have arrived at the station.

c2c

Passenger information during disruption

The c2c industry action plan is available on-line ([here](#)) but is difficult to locate on its website. c2c has completed on time 32 of the 48 industry actions with two actions completed ahead of the deadline – c2c now offers announcements when the train comes to a stop between stations within two minutes as well as banners for disruptions on its website and mobile app. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]

c2c PIDD action Plan progress

67% actions completed

33% actions remaining (some not due until 2019)
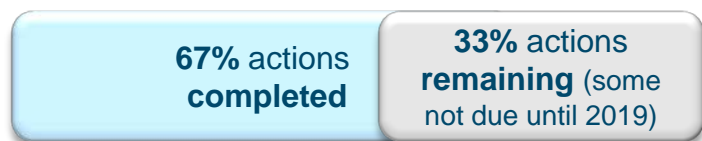
Key passenger-facing industry actions reported by c2c

Provides estimates about how long the disruption will last. Its Twitter messages include "until further notice". When a train is cancelled, c2c will automatically announce the next train.

Provides reasons for disruption in its messaging for example via Twitter (@c2c_rail).

c2c Rail @c2c_Rail · 5 hrs
CANCELLATIONS:
04:36 Thorpe Bay to Fen St via Ock
06:04 Fenchurch St to Shoebury via Bas
Owing to member of train-crew being unavailable.

Provides alerts about journey disruption via email and its Live App (passengers can save 'favourite journeys' in the app and view only disruption affecting those).

c2c Rail @c2c_Rail   Follow

The ticket office will be closed from now until further notice at Tilbury Town station.

RETWEETS 5

9.11 a.m. - 15 Mar 2016

Has committed to improve manual announcements during disruption (alongside automated ones) at the stations and on trains by March 2017.

Provides service warnings for passengers during disruption on its website and app. Its service warning uses a colour-coding system to warn about the severity of the disruption.

Provides announcements within 2 minutes when the train comes to a stop between stations.

c2c reports that the "Next Fastest Train" upgrade to the Customer Information System was commissioned in October 2015. This provides an update to passengers in the event of a cancellation of when the next fastest direct service (whether a train or a bus) to certain destinations are; from where it will depart and how long it is until it is due.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by c2c in November 2015 in response to an ORR request for information.

Area	Position reported by c2c
Elimination of jargon terms	• TVMs use such terminology as: "Any Permitted"; "London Terminals" and abbreviations of train operators' names, such as "VTEC" but, on most of its machines, customers are directed to the National Rail Enquiries website for an explanation, including by way of a QR code. Information buttons are also presented on-screen which give information on what abbreviations stand for. • It is currently developing a project to deliver 'Smart Kiosks' to replace the majority of its current TVMs and has been working with user experience specialists to design a completely new user interface, which avoids the use of jargon or provides an explanation. These are expected to be delivered by 31 December 2018.
Information on product range	• TVMs are unable to issue Advance, GroupSave, Senior Rover, promotional tickets, tickets for travel from other station, or Family Travelcards. Printed information is displayed on TVMs informing passengers that these tickets are not available from the TVM and directs passengers to the ticket office or website.
Information on ticket restrictions	• TVMs provide some, such as on time restrictions, or direct the customer to the National Rail Enquiries website, but that the information displayed on its TVMs regarding restrictions is limited due to the complexity of the restrictions and the volume of information it would be necessary to present to cover all restrictions and validities.
Sale of off-peak fares	• TVMs are restricted to selling Off-Peak tickets during Off-Peak times so as to avoid customers purchasing an invalid ticket in error.
Filtering of fares	• TVMs display fares from the lowest price to the highest. There is no facility for passengers to filter further.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

CALEDONIAN SLEEPER

Owner group: Serco

Operator: Serco Caledonian Sleeper

Franchise: Caledonian Sleeper[1]

Operation start date: 31 March 2015 – 31 March 2030

Routes operated: Provides an overnight sleeper train services between London and Scotland: London to Glasgow, Edinburgh and London to Fort William, Inverness and Aberdeen

Number of employees: 138 employees in 2015-16

Number of operated stations: Does not operate any stations

Volume of services: Approximately 3,120 services in 2015-16

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[1] Caledonian Sleeper's franchise agreement is available on the Government website: http://www.transport.gov.scot/system/files/documents/tsc-basic-pages/Franchise%20Agreement%20EXECUTION%20COPY%2023%20May%202014_Redacted.pdf

Serco Caledonian Sleeper

ORR has been working with Serco Caledonian Sleeper since September 2015 to assist it with putting in place the necessary systems to enable it to fulfil its regulatory reporting requirements. It has nonetheless experienced a number of issues which has meant that it has not been able to provide ORR with all of the data it is required to deliver under its license obligations. ORR has agreed a work plan and timetable with the operator to address these issues and expects it to be in a position to fully meet its data reporting requirements by summer 2016 at the latest. The details of this can be found here on our website (here). Below we present the data that the operator has so far made available to us.

Complaints handling

Serco Caledonian Sleeper was due to submit its revised Complaints Handling Procedure (CHP) to ORR for review and approval on 15 May 2016. ORR has not yet received the CHP and therefore this remains an outstanding action for the operator.

The total number of complaints received in rail periods 1-12 2015-16 is 989, an average of 82.4 per period. The complaints figure represents a rate of complaint at 0.32% per passenger journey.

Top areas for improvement identified by Serco Caledonian Sleeper[1]		
1	Operational issues	The operator experienced an upturn in complaints as a consequence of the flooding which caused the closure of the Lamington Viaduct from 31 December 2015 to 22 February 2016. It put in place an operational plan to mitigate the impact upon passengers as best it could at the time, and going forward will look to replicate the positive aspects of this for future events on this scale.
2	On-train service	The operator has put in place a 'reliability improvement programme' to improve the reliability (and thus availability) of its lounge coaches to reduce the volume of failures it experienced in this aspect of service over the last year.
3	Delays in processing refunds	The operator has increased the number of staff working in its contact centre, and moved some related functions to its finance teams, to allow it to speed up the handling and processing of claims.
4	On-train presentation	The operator has been undertaking a programme of work to identify and address aspects of presentation that were not meeting passenger expectations.
5	Websites problems	The operator launched a revised website in February 2016 in order to address some problems passengers were having when making online bookings.

Access and assistance

Serco Caledonian Sleeper's DPPP was approved by ORR on 5 March 2015. The operator was asked to carry out a review of both its passenger and policy documents after 6 months' experience of running the franchise. It then subsequently submitted its revised DPPP passenger document to ORR on 19 January 2016. ORR reviewed the draft and requested some changes, but has yet to receive a revised version of the passenger document. In addition, ORR has requested a draft of the DPPP policy document for review, however this has also not yet been received.

Data on number of assisted journeys booked is available for each train company that manages a station. Serco Caledonian Sleeper does not manage any stations and therefore this data is not available. It is noted that Serco Caledonian Sleeper handles requests for assistance made by telephone or online and works alongside other operators to ensure that assistance delivered on its behalf is done correctly.

Serco Caledonian Sleeper had 659 Disabled Person's Rail Card journeys allocated to it over Periods 1-12. The operator reports that its overall reservations for disabled passengers exceed this number, however. To increase its capacity for taking disabled passengers the operator uses both accessible as well as standard berths to accommodate disabled guests, depending on their needs.

In March 2015 all 14 members of Serco Caledonian Sleeper's Guest Services Contact centre staff undertook disability and equality awareness training. The on-train staff will also receive refresher training in 2016.

Serco Caledonian Sleeper's replacement transport is arranged through Abellio Rail Replacement services, however to date no specific alternative accessible transport has been arranged, excepting occasions where other replacement road transport has been used (whole train failures involving transit of guests).

Passenger information during disruption

Serco Caledonian Sleeper is yet to submit its code of practice for providing passenger information. We will work with the train operator to ensure that this is in place for next year's publication of the report.

Improving passenger experience of Ticket Vending Machines (TVMs)

! Not applicable – Serco Caledonian Sleeper does not operate any stations and does not own any TVMs.

Chiltern Railways

Owner group: Arriva UK Trains

Operator: Chiltern Railways

Franchise: Chiltern Railways[1]

Franchise start and end date: 21 July 1996 - 21 December 2021

Routes operated: Chiltern's network extends from London Marylebone to Kidderminster via High Wycombe, Banbury and Birmingham Moor Street. It also runs services from London Marylebone to Aylesbury Vale Parkway via Amersham, and from London Marylebone to Oxford Parkway.

Number of employees: 780 employees in 2014-15

Number of operated stations: 36 stations in 2014-15

Volume of services: 23.6m passengers journeys in 2014-15

Financial information: Made a premium payment to the Government of £30.2m in 2014-15, equivalent to 2.5 pence per passenger kilometre.

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[1] Chiltern Railways' franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/488532/RED_Chiltern_Franchise_Agreement.pdf.

Chiltern Railways

Complaints handling

Chiltern Railways' Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
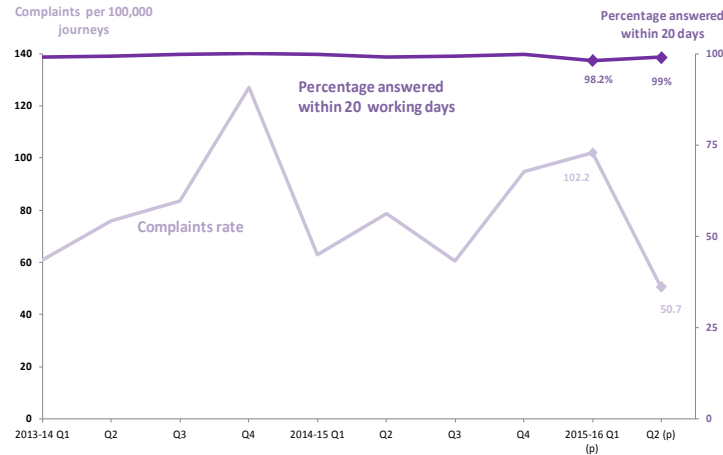
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Chiltern Railways decreased from 78.7 to 50.7 (by 35.6%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, Chiltern Railways responded to 99.7% of complaints within 20 working days. This remained stable in 2014-15 at 99.5%. In Q1 and Q2 2015-16 it responded to 98.2% and 99.0% of complaints respectively.

Chiltern Railways has set itself a more challenging response time of 10 working days. In Q1 and Q2 2015-16 it responded to 87.9% and 98.0% of complaints respectively.

Top areas for improvement (rail periods 1-7 2015-16)

1. Ticket buying facilities - ticket machines
2. Quality on train - overcrowding
3. Quality on train - toilets
4. Complaints against staff
5. Staff conduct & availability

Chiltern Railways reports it has introduced more ticket machines at Marylebone station, and a new way of working there where all staff are able to work across the station and now have the knowledge to deal with all complaints effectively. It also reports a recent introduction of a scheme where passengers text "Loo" to a unique number if facilities are not in order - they will be checked by the staff at the earliest opportunity.

Access and assistance

Chiltern Railways' Disabled People's Protection Policy (DPPP) is currently being reviewed.

Number of assisted journeys booked, by rail period
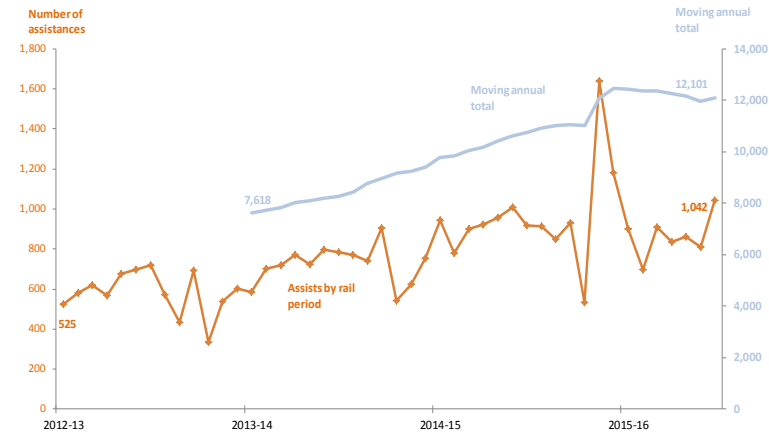
There were 12,101 booked assistances for the past 12 months up to rail period 7 2015-16, up by 12.4% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.3% and 3.0% respectively.

In rail periods 1-7 2015-16 24 new starters undertook disability awareness training.

In rail periods 1-7 2015-16 Chiltern Railways provided 49 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 7 bookings per rail period).

Chiltern Railways

Passenger information during disruption

The Chiltern Railways industry action plan is available on-line (here) but is difficult to locate on its website. Chiltern Railways has completed on time 32 of the 48 industry actions with one action completed ahead of the deadline – Chiltern Railways reports that manual announcements are provided on trains and at stations (alongside the automated updates). Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]

Chiltern Railways PIDD action plan progress

67% actions **completed**

33% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Chiltern Railways
Where possible, provides estimates about how long the disruption will last.
Provides reasons for disruption in their messaging to passengers (eg via Twitter).
Provides alerts about journey disruption to its passengers via email and text message.
Provides manual announcements during disruption at the stations and on trains (alongside automated ones).
Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017.
Since March 2016 makes announcements within 2 minutes when the train comes to a stop between stations.
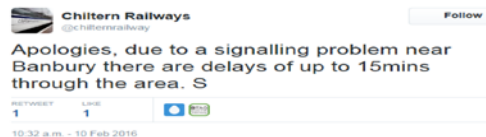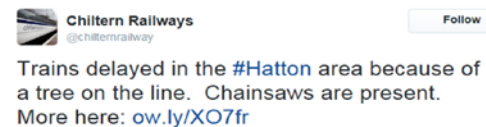
(Chiltern Railways @chilternrailway — Follow)
Apologies, due to a signalling problem near Banbury there are delays of up to 15mins through the area. S
10:32 a.m. - 10 Feb 2016

(Chiltern Railways @chilternrailway — Follow)
Trains delayed in the #Hatton area because of a tree on the line. Chainsaws are present. More here: ow.ly/XO7fr

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Chiltern Railways in November 2015 in response to an ORR request for information.

Area	Position reported by Chiltern Railways
Elimination of jargon terms	• TVMs use a variety of jargon that is common across the industry. This includes "Any permitted route" and "London Terminals". • Other information and publicity refers to Marylebone rather than London Terminals and, from January 2016 its TVMs will start using this terminology too.
Information on product range	• Its Small Group discounted tickets are not available on its TVMs and that it has put stickers on its TVMs to explain which tickets/products are/are not available and to direct passengers to its booking offices or website.
Information on ticket restrictions	• TVMs currently provide very limited information on ticket restrictions – this is partly due to industry data and partly due to the limitations of the TVMs. • It is currently in the process of providing more information into the industry data and expected to see some improvement in January 2016.
Sale of off-peak fares	• TVMs display Off-Peak fares a few minutes after the departure of the last train on which their use is restricted. This varies depending how long before the first train they are valid on.
Filtering of fares	• Due to the nature of its route, the ticket that is cheapest by route and ticket type is typically the one that is the most appropriate for the passenger's needs – this is displayed at the top of the list.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: Arriva UK Trains

Operator: CrossCountry

Franchise: New Cross Country[1]

Franchise start and end date: 11 November 2007 – 15 October 2016

Routes operated: CrossCountry operates the UK's longest direct rail service from Aberdeen in the north-east of Scotland to Penzance in Cornwall

Number of employees: 1,756 employees in 2014-15

Number of operated stations: Does not operate stations

Volume of services: 35.4m passenger journeys in 2014-15

Financial information: Made a premium payment to the Government of £47.3m in 2014-15, equivalent to 1.4 pence per passenger kilometre

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[1] CrossCountry's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/426304/acc-franchise-agreement.pdf.

CrossCountry

Complaints handling

CrossCountry's Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
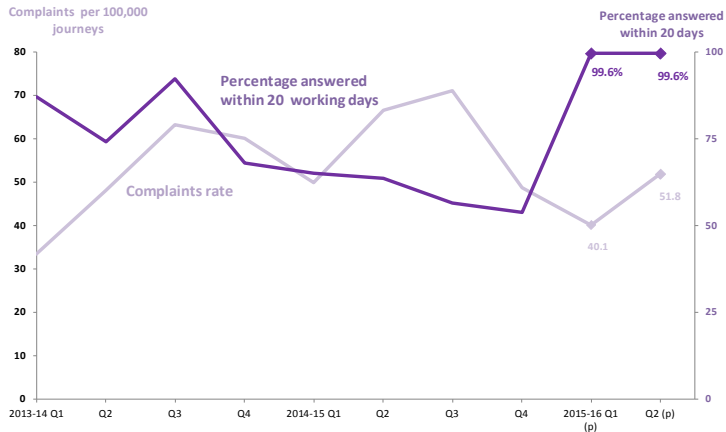
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by CrossCountry decreased from 66.5 to 51.8 (by 22.1%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14 CrossCountry responded to 80.5% of complaints within 20 working days. This decreased in 2014-15 to 59.6%. In Q1 and Q2 2015-16 it responded to 99.6% of complaints in each quarter.

CrossCountry aims to respond to all emails within 10 working days and all written correspondence within 15 working days. However, it did not provide data on how frequently these more challenging targets were reached.

Top areas for improvement (rail periods 1-7 2015-16)

1 Quality on train - sufficient room
2 Quality on train - facilities on board
3 Quality on train - reservations
4 Ticket and refund policy
5 Quality on train - toilets

CrossCountry reports that the size of its train fleet is fixed but it is discussing the challenges of passenger numbers and room available with the Department for Transport. It is aware of high numbers of complaints relating to first class journeys, especially on weekends. CrossCountry also reports making a number of improvements to toilets including deep cleaning and installation of air fresheners.

Access and assistance

CrossCountry' Disabled People's Protection Policy (DPPP) is currently being reviewed.

Data on number of assisted journeys booked is available for each train operator that manages a station. CrossCountry does not manage any stations and therefore this data is not available. It is noted that CrossCountry handles requests for assistance made by telephone or online and works alongside other train operators to ensure that assistance delivered on its behalf is done correctly.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.5% and 0.6% respectively.

In rail periods 1-7 in 2015-16 93 staff received disability awareness training, as part of the induction process. In addition, 34 employees received refresher training on Disability Awareness and Standard Protocol Training. The training materials used were supplied by the Association of Train Operating Companies (ATOC).

In rail periods 1-7 2015-16 CrossCountry provided 56 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 8 bookings per rail period).

CrossCountry

Passenger information during disruption

The CrossCountry's industry action plan is available on-line (here) but is difficult to locate on its website. CrossCountry has completed 32 of the 47[1] industry actions on time with one action completed ahead of the deadline – CrossCountry now provides banners for disruptions on its website and mobile app. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).

CrossCountry PIDD action plan progress

68% actions **completed**

32% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by CrossCountry

Where possible, provides estimates about how long the disruption will last.	**CrossCountry trains** @crosscountryuk — Follow
Provides reasons for disruption in its messaging, eg via Twitter (@crosscountryuk).	Due to cows on the railway between Stafford and Penkridge all lines are currently disrupted.
Provides alerts about journey disruption only for passengers who have booked a journey.	RETWEETS 6 LIKES 22
Does not use automated announcements at does not have to undertake any system changes to introduce manual announcements on trains.	**CrossCountry trains** @crosscountryuk — Follow NORMAL WORKING between #Cambridge and Audley End following emergency services dealing with an incident. Delays still likely until 21:00. RETWEET 1
Provides service warnings for passengers during disruption on its website and app.	
Provides announcements within 2 minutes when the train comes to a stop between stations.	

Improving the passenger experience at Ticket Vending Machines (TVMs)

! Not applicable - CrossCountry does not operate any stations and does not own any TVMs.

[1] *One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*

EAST MIDLANDS TRAINS

Owner group: Stagecoach

Operator: East Midlands Trains

Franchise: East Midlands[1]

Franchise start and end date: 11 November 2007 – 4 March 2018

Routes operated: East Midlands Trains runs services in the East Midlands, chiefly in Lincolnshire, South Yorkshire, Nottinghamshire, Leicestershire, Derbyshire and Northamptonshire but also Greater London and North West England

Number of employees: 2,061 employees in 2014-15

Number of operated stations: 89 stations in 2014-15

Volume of services: 25.5m passenger journeys in 2014-15

Financial information: Made a premium payment to the Government of £82.6m in 2014-15, equivalent to 3.5 pence per passenger kilometre

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[1] East Midlands' franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/389357/RED_EMT_Franchise_Agreement.pdf .

East Midlands Trains

Complaints handling

East Midland Trains' Complaints Handling Procedure (CHP) has been reviewed, and was approved under the 2015 guidance on CHP in February 2016.

Complaints rate and complaint handling performance, by quarter
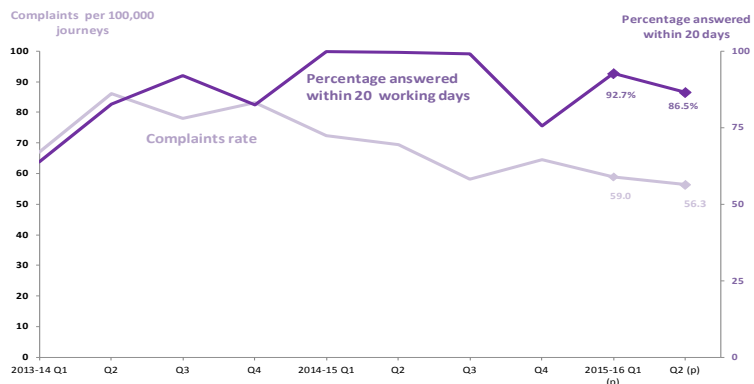
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by East Midlands Trains decreased from 69.4 to 56.3 (by 18.8%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14 East Midlands Trains responded to 81.1% of complaints within 20 working days. This increased in 2014-15 to 93.6%. In Q1 and Q2 2015-16 it responded to 92.7% and 86.5% of complaints respectively.

East Midlands Trains aims to respond to 90% of complaints received within 5 working days. However, it did not provide data on how frequently these more challenging targets were reached.

Top areas for improvement (rail period 1-7 2015-16)

1. Quality on train - sufficient room
2. Quality on train - facilities on board
3. Staff conduct & availability
4. Ticket buying facilities - fares
5. Ticketing and enquires policy

East Midlands Trains reports that a training initiative 'Doing the Right Thing' has been re-launched to empower staff to use their discretion for ticket and fare enquiries. As a result the complaint data on railcards and advance tickets have fallen. It has also worked with the on-train Wifi provider to upgrade the system.

East Midlands Trains reports that it commits to ensure that, where possible, the same member of staff handles a complaint from start to finish. Its contact centre is open 24 hours a day, 7 days a week.

Access and assistance

East Midlands Trains' Disabled People's Protection Policy (DPPP) has been reviewed. This was completed in March 2016.

Number of assisted journeys booked, by rail period
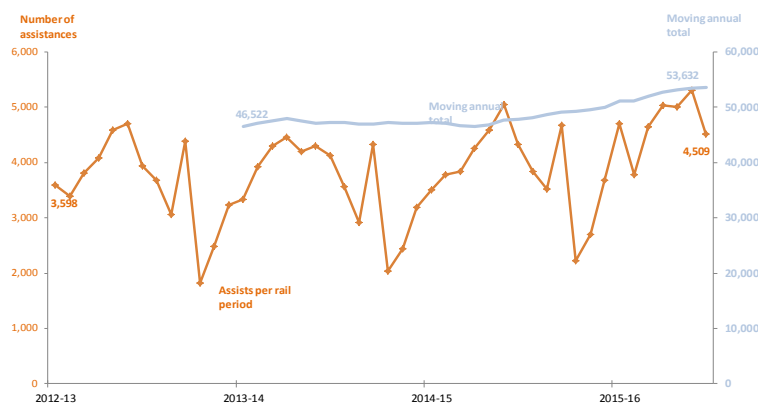
There were 53,632 booked assistances for the past 12 months up to 2015-16 P7, up by 12.2% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.1% and 1.6% respectively.

In rail periods 1-7 in 2015-16, 42 front-line delivery team received disability awareness training, as part of the induction process. The training materials used were supplied by the Association of Train Operating Companies (ATOC).

In rail periods 1-7 2015-16 East Midlands Trains provided 41 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 6 bookings per rail period).

East Midlands Trains reports that passengers are only required to give 12 hours' notice for assistance bookings when travelling solely on its services. In addition, it provides passengers with a full refund for their journey if booked assistance is not provided.

East Midlands Trains
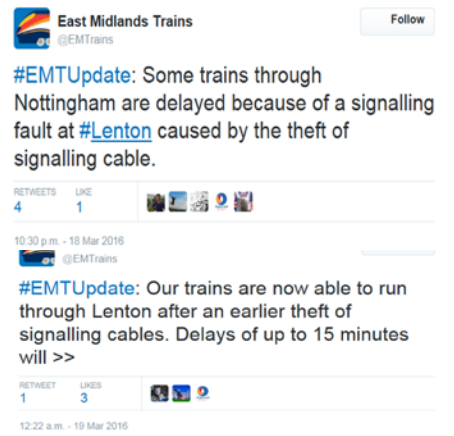## Passenger information during disruption

The East Midlands Trains' industry action plan is not available on-line but it has published ATOC's Code of Practice. East Midlands Trains has completed on time 32 of 48 industry actions with two actions completed ahead of the deadline – it reports that manual announcements during disruption are provided on trains and at stations (alongside the automated updates) and it makes announcements within 2 minutes when the train comes to a stop between stations. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]

East Midlands Trains PIDD action plan progress

67% actions **completed**   **33%** actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by East Midlands Trains

Where possible, provides estimates about how long the disruption will last.

Provides reasons for disruption in its messaging to passengers (@EMTrains).

It currently contact its passengers via e-mail within 7 and 28 days with regards to planned journey disruption, and plans to deliver this within 24 hours by the end of 2016.

Provides manual announcements during disruption at staffed stations (alongside automated ones) and on trains.

Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its websites and app.

Provides announcements within 2 minutes when the train comes to a stop between stations.

East Midlands Trains
@EMTrains   Follow

#EMTUpdate: Some trains through Nottingham are delayed because of a signalling fault at #Lenton caused by the theft of signalling cable.

RETWEETS 4   LIKE 1

10.30 p.m. - 18 Mar 2016

@EMTrains

#EMTUpdate: Our trains are now able to run through Lenton after an earlier theft of signalling cables. Delays of up to 15 minutes will >>

RETWEET 1   LIKES 3

12:22 a.m. - 19 Mar 2016

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by East Midlands Trains in November 2015 in response to an ORR request for information.

Area	Position reported by East Midlands Trains
Elimination of jargon terms	• TVMs use descriptions that could be considered "railway jargon", such as "London Terminals" and "Any permitted" • The challenges to making improvement are primarily associated with industry terms but that it has made improvements with the addition of a "London Terminal" button which lists the relevant stations.
Information on product range	• All TVMs have an information panel advising what products are available from the machine, where to obtain the ticket types that are not available, and time of day restrictions.
Information on ticket restrictions	• TVMs do not currently provide complete information on ticket restrictions. This is explained as a legacy issue due to the complexity of fares inherited from previous operators and limitations of industry data/systems. • It provides additional information in an annual fares leaflet distributed after every price change, the next of which was planned to be published in May 2016.
Sale of off-peak fares	• Off-Peak fares will normally be displayed within 5 minutes of the departure of the last peak train.
Filtering of fares	• Passengers are shown the relevant fares based on the following filters: route; single/return; and ticket type.

East Midlands Trains reports that it has committed to update its TVMs in 2016 to carry all the fares, including Season Tickets up to 12 Months and Tickets for 28 Days in Advance.

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[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

First Hull Trains

Owner group: FirstGroup

Open Access Operator: First Hull Trains

Track access agreement start and end date: 25 September 2002 – December 2019

Routes operated: First Hull Trains operates seven long-distance services between Hull and London King's Cross, also serving Brough, Howden, Selby, Doncaster, Retford, Grantham and Stevenage

Number of operated stations: First Hull Trains does not operate any stations

Volume for services: 0.8m passenger journeys were made in 2014-15

First Hull Trains

Complaints handling

First Hull Trains has agreed to submit its revised Complaints Handling Procedure (CHP) for review and approval on 30 May 2016.

Complaints data for First Hull Trains is available from year 2015-16. In Q1 and Q2 it recorded respectively 71.0 and 112.1 complaints per 100,000 passenger journeys.

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. First Hull Trains currently only reports on the percentage of complaints responded to within 10 days, which is a more challenging response time that it has set itself. In Q1 and Q2 2015-16 it responded to 99.4% and 89.2% of complaints respectively. We are working with First Hull Trains to resolve this.

Top areas for improvement (rail period 1-7 2015-16)

1. Punctuality and reliability
2. Quality on train - facilities on board
3. Quality on train - sufficient room
4. Ticketing and refunds
5. Ticket buying facilities

First Hull Trains reports high levels of complaints associated with the 18:50 London Kings Cross to Hull service on Friday evenings (this route becomes the quickest route to Nottingham on an off peak ticket). It tried to double the capacity on the train by adding carriages. Website warning information has also been applied to ticket purchases when the allocation of seats has already been reached so passengers are advised that seats may not be available.

Access and assistance

First Hull Trains originally submitted its Disabled People's Protection Policy (DPPP) for review in May 2015. There has been a delay by the operator in addressing our comments on the draft and therefore the DPPP remains under review at this time.

Since First Hull Trains does not manage any stations, there is no data on assistances booked for disabled passengers. This data is shown for train operators that manage stations, and not necessarily against the train operator which the passenger travels with.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.7% and 0.5% respectively.

In rail periods 1-7 2015-16 49 staff undertook disability awareness training. This includes all customer facing staff members.

First Hull Trains provided no alternative accessible transport journeys (such as taxis) for disabled passengers because in rail periods 1-7 2015-16 no assistances were booked.

First Hull Trains reports that it hosts an 'accessible travel' group consisting of regular disabled travellers and rail user group representatives that discuss how First Hull Trains has performed in delivering assisted travel.

First Hull Trains reports that it deploys a 'Customer Action Team' at stations to help passengers that have been delayed, missed connections or require alternative transport. The team help make suitable arrangements for passengers to complete their journeys.

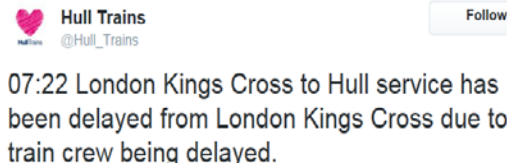# First Hull Trains
Passenger information during disruption

The First Hull Trains' industry action plan is available on-line ([here](#)). First Hull Trains has completed on time 31 of the 47[1] industry actions with one action completed ahead of the deadline – First Hull Trains reports that it now provides automated announcements when a train comes to a stop between stations within two minutes. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[2]

First Hull Trains PIDD action plan progress

66% actions **completed**	**34%** actions **remaining** (some not due until 2019)

Improving the passenger experience at Ticket Vending Machines (TVMs)

! Not applicable – First Hull Trains does not operate any stations and does not own any TVMs.

Key passenger-facing industry actions reported by First Hull Trains

Where possible, provides estimates about how long the disruption will last.	**Hull Trains** @Hull_Trains Follow 07:22 London Kings Cross to Hull service has been delayed from London Kings Cross due to train crew being delayed.
Provides reasons for disruption in its messaging, eg via Twitter (@Hull_Trains).	**Hull Trains** @Hull_Trains Follow #Sandy - Delays of up to 30 minutes expected until 08:45
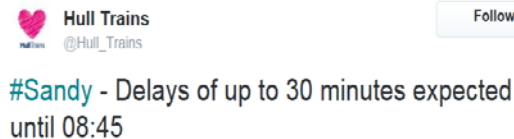
Provides alerts about journey disruption to its passengers on its website. The log-in page is, however, difficult to navigate to from the homepage.

Has committed to provide manual announcements during disruption (alongside automated ones) on trains by March 2017.

Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017.

Makes announcements within 2 minutes when the train comes to a stop between stations.

👍 First Hull Trains reports that it is trialling on-board real-time information screens that use National Rail information to give connections at the stations it calls at. The screens also provide news and London Underground information as well as a graphical indication of the train's position on its route and whether it is on time.

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[1] First Hull Trains does not operate any stations and therefore cannot commit to making announcements on them.

[2] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: Govia

Operator: Govia Thameslink Railway (GTR)

Franchise: GTR[1]

Franchise start and end date: 14 September 2014 – September 2021

Routes operated: GTR operates North to South through London from Bedford to Brighton, serving both London Gatwick Airport and London Luton Airport, with a suburban loop. Also runs from London Victoria and London Bridge through the South London suburbs. It also operates the Gatwick Express service running from London Victoria to Gatwick Airport

Number of employees: 2,610 employees in 2014-15

Number of operated stations: 81 stations in 2014-15

Volume of services: 123.8m passenger journeys were made in 2014-15

Financial information: Made a premium payment to the Government of £99.8m in 2014-15, equivalent to 4.5 pence per passenger kilometre

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[1] GTR's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/488198/tsgn-franchise-agreement.pdf.

Govia Thameslink Railway

Complaints handling

> Govia Thameslink Railway's Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 CHP guidance.

Complaints rate and complaint handling performance, by quarter

A new Govia Thameslink Railway franchise was established in July 2015, a merger of two previous franchises Southern and Govia Thameslink Railway (GTR). Prior to that GTR* took over First Capital Connect (FCC) in September 2014. Therefore data prior to 2015-16 Q1 is shown for Southern and GTR*/FCC.*
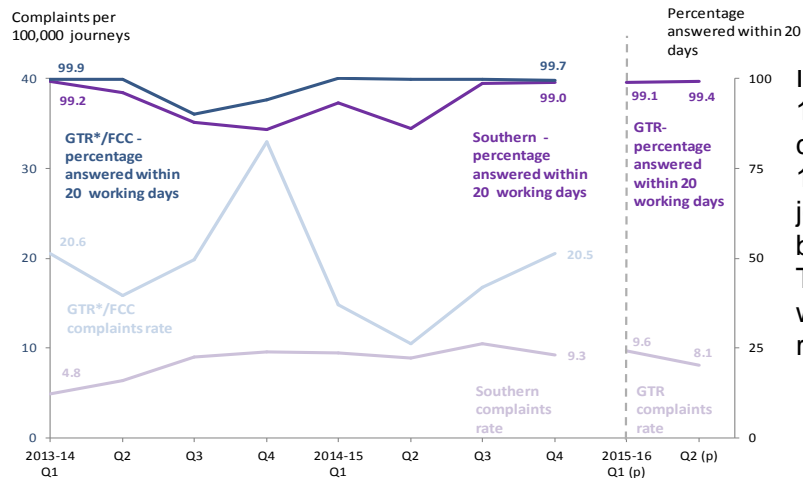
In Q1 and Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Govia Thameslink Railway was 9.6 and 8.1 respectively.

The CHP guidance requires that TOCs respond to 95% of complaints within 20 working days. Govia Thameslink Railway responded to 99.1% of complaints in 2015-16 Q1, and 99.4% of complaints in 2015-16 Q2.

Govia Thameslink Railway has set itself a more challenging response time of 5 to 10 working days (depending on the contact method). In Q1 and Q2 2015-16 it responded to 89.1% and 79.2% of complaints respectively.

Top areas for improvement (rail periods 1-7 2015-16)

- Ticketing and refunds policy
- Smartcards
- Provision of information on the journey
- Provision of information about train times/platforms
- Quality on train - heating and air conditioning

Govia Thameslink Railway reports that complaints around information provision are now dropping due to the introduction of new trains on part of the route. These trains have improved on board information systems. It has also launched upgrades to the On Track App. These were influenced by passenger feedback.

Access and assistance

> Govia Thameslink Railway's Disabled People's Protection Policy (DPPP) has been reviewed. This was completed in May 2016.

Total volume of assisted journeys booked, by rail period [1]
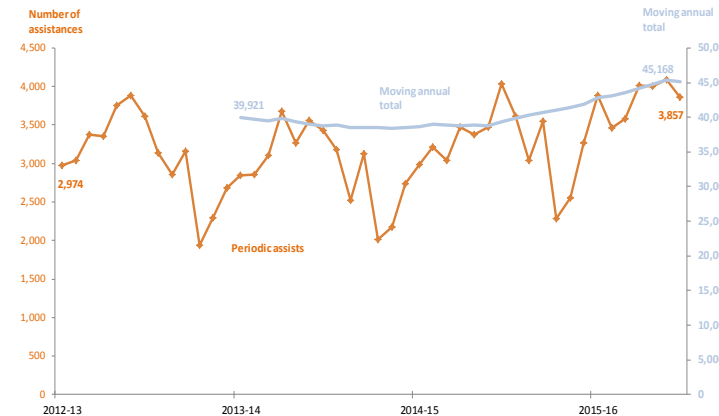
There were 45,168 booked assistances for the past 12 months up to rail period 7 2015-16, up by 14.8% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.8% and 1.1% respectively.

In rail periods 1 - 7 2015-16 Govia Thameslink Railway reports that accessibility training is part of corporate induction training for all staff, with 243 staff completing this. In 2016 accessibility training will be delivered to more than 1200 frontline staff. From Summer 2016, bi-annual role-specific refresher accessibility training for all staff will be provided.

In rail periods 1-7 2015-16 Govia Thameslink Railway provided 373 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 53 bookings per rail period).
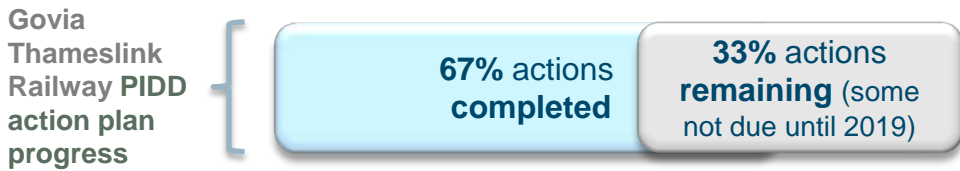
> Govia Thameslink Railway reports that it provides a priority seat card initiative to help disabled passengers find seats on services. It also organises 'Try the Train' days (link) to give disabled passengers the opportunity to experience travelling by train.

[1] The split of historical data for Southern and First Capital Connect is not available.   65

Govia Thameslink Railway
Passenger information during disruption

The Govia Thameslink Railway's industry action plan is available on-line (here and here). It has completed on time 32 of the 48 industry actions, with one action completed ahead of the deadline.[2] Govia Thameslink Railway now provides announcements when the train comes to a stop between stations within two minutes. Of the remaining actions, all are expected to be completed on time (some not due until March 2019). Govia Thameslink Railway is yet to introduce the more meaningful reasons for delays on station information screens.

Govia Thameslink Railway **PIDD** action plan progress

67% actions **completed**   **33%** actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Govia Thameslink Railway
Provides estimates about how long the disruption will last. It operates as 4 brands – Southern, Gatwick Express, Thameslink and Great Northern. It has separate twitter accounts for each of them (@gatwickexpress, @southernrailuk, @TLRailUK, @GNRailuk).
Since March 2016 provides reasons for disruption in its messaging to passengers.
Provides alerts about journey disruption to its passengers via text message and email.
Has committed to provide manual announcements during disruption at the stations and on trains (alongside automated ones) by March 2017.
Provides service warnings for passengers during disruption on its website and app.
Provides announcements within 2 minutes when the train comes to a stop between stations.

[2] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Govia Thameslink Railway in November 2015 in response to an ORR request for information.

Area	Position reported by Govia Thameslink Railway
Elimination of jargon terms	• Govia responded to us on behalf of London Midland, Southeastern, and Govia Thameslink Railway. It reports that it uses different types of TVMs, and that they have different capabilities. • Uses jargon, such as "Any permitted" and "London Terminals" but "London Terminals" are defined in some cases but it said that there are limitations on its ability to remove jargon, arising from industry standards and data, resources and availability of software from suppliers.
Information on product range	• The tickets/products available at TVMs are restricted but that screen savers and labelling on machines explain what is and is not available from the machine, and direct passengers to the relevant website and station staff for the full ticket range. • The overwhelming majority of fares, by volume, sold are offered from TVMs and where they aren't it is for technical reasons rather than due to price.
Information on ticket restrictions	• The key ticket restrictions are set so that they appear as default information on all TVMs. Where restrictions change or are more complex passengers are advised to seek information from the ticket office.
Sale of off-peak fares	• There is no set time frame and the display of Off-Peak and Super Off-Peak fares is governed by the timetable and station times allowed for changing trains. • It is installing 63 new TVMs in 2016 and is looking to change the restrictions on when people can buy tickets for the next day.
Filtering of fares	• TVMs do not currently allow passengers to filter the results of their search but, as the default, show these results with the cheapest fare first.

Owner group: Arriva

Open Access Operator: Grand Central Railways

Track access agreement start and end date: 18 December 2007 – December 2026

Routes operated: Grand Central operates passenger rail services on the East Coast Main Line from Sunderland to London King's Cross and from Bradford to London King's Cross

Number of employees: 134 employees in 2014-15

Number of operated stations: Does not operate any stations

Volume of services: 1.3m passenger journeys were made in 2014-15

Grand Central

Complaints handling

Grand Central has agreed to submit its revised Complaints Handling Procedure (CHP) for review and approval on 15 June 2016.

Complaints data for Grand Central is available from year 2015-16. In Q1 and Q2 it recorded 265.0 and 296.6 complaints per 100,000 passenger journeys respectively.[1]

The CHP guidance requires that Grand Central responds to 95% of complaints within 20 working days. In Q1 and Q2 2015-16 it responded to 100.0% and 95.4% of complaints respectively.

Grand Central has set itself a more challenging response time of 10 working days. In Q1 and Q2 2015-16 it responded to 100.0% and 85.5% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1 Punctuality and reliability
2 Quality on train - facilities on board
3 Quality on train - sufficient room
4 Ticketing and refunds
5 Cleanliness of trains

Grand Central reports complaints about cleanliness are falling because it has moved heavy cleaning of the High Speed Train fleet from nights to days. It reports it has also improved the interiors of the class 180 fleet through refurbishment of First Class carriages, vestibules, lighting, and toilets, carrying out deep cleaning, and repairing damaged, faulty or worn aspects of the interior.

Access and assistance

Grand Central's Disabled People's Protection Policy (DPPP) is currently under review.

Since Grand Central does not manage any stations, there is no data on assistances booked for disabled passengers. This data is shown for train operators that manage stations, and not necessarily against the train operator which the passenger travels with.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.8% and 0.7% respectively.

In rail periods 1-7 2015-16 2 staff undertook disability awareness training, as part of new starter induction. Grand Central reports that it also employs qualified and experienced operational and safety managers who all have received disability awareness and equality training and utilises this when setting Grand Central policy and procedures.

Grand Central provided no alternative accessible transport journeys (such as taxis) for disabled passengers because in rail periods 1-7 2015-16 no assistances were booked.

Grand Central reports it has station ambassadors on stations which are unstaffed on Sundays. It provides passengers with information, help during disruption and ensure passengers requiring assistance are in the right place on the platform to receive assistance from on train teams.
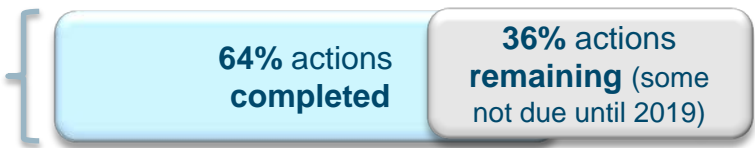
[1] Grand Central have recently notified us that their complaints data includes compensation claims. ORR are working with Grand Central to improve the quality of this data, and expect to publish revised data for 2015-16 in our Quarter 4 Passenger Rail Service Complaints statistical release on 16th June.

Grand Central

Passenger information during disruption

The Grand Central's industry action plan is available on-line (here) but it is difficult to navigate to it from the home page. Grand Central has completed on time 29 of the 45[1] industry actions with one action completed ahead of the deadline – Grand Central reports that it now provides automated announcements when the train comes to a stop between stations within two minutes. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[2]

Grand Central PIDD action plan progress

64% actions **completed**

36% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Grand Central

Where possible, provides estimates about how long the disruption will last.	**Grand Central Rail** @GC_Rail — Follow CANCELLED: Due to earlier overhead wire damage the 10:21 Bradford Interchange – Kings X service has been cancelled
Provides reasons for disruption in its messaging, eg via Twitter (@GC_Rail).	
Provides alerts to it spassengers about journey disruption via email and text message.	**Grand Central Rail** @GC_Rail — Follow SIGNALLING ISSUES: between Wakefield Kirkgate and Halifax causing all lines to currently be blocked. Disruption expected until 22:30.
Has committed to provide manual announcements during disruption (alongside automated ones) on trains by March 2017.	
Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its website.	
Provides announcements within 2 minutes when the train comes to a stop between stations.	

Improving the passenger experience at Ticket Vending Machines (TVMs)

! Not applicable – Grand Central does not operate any stations and does not own any TVMs.

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[1] *Grand Central does not operate any stations and therefore cannot commit to making announcements on them.*

[2] *One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*

GWR

Owner group: FirstGroup

Operator: Great Western Railway
Franchise: Great Western[1]
Franchise start and end date: The following agreements have been awarded:

1. Competitively Awarded Franchise which was won by First Group in December 2005.
Started: 1 April 2006 -
Ended: 12 October 2013.
2. Direct Award Franchise 1 signed in October 2013.
Started: 13 October 2013 -
Ended: 19 September 2015
3. Direct Award Franchise 2 signed in March 2015.
Started: 20 September 2015

Ends: 31 March 2019

Routes operated: Great Western Railway operates long-distance inter-city services along the Great Western Main Line to South West England, Bristol and South Wales. It also provides regional services throughout the West of England to the south coast of England. It also operates the *Night Riviera* sleeper service between London and Penzance
Number of employees: 5,705 employees in 2014-15

Number of operated stations: 206 stations in 2014-15
Volume of services: 103.7m passenger journeys in 2014-15
Financial information: Made a premium payment to the Government of £62.1m in 2014-15 , equivalent to 1.0 pence per passenger kilometre

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[1] Great Western's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/486668/red-fgw-franchise-agreement.pdf.

Great Western Railway

Complaints handling

Great Western Railway's Complaint Handling Procedures (CHP) policy is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
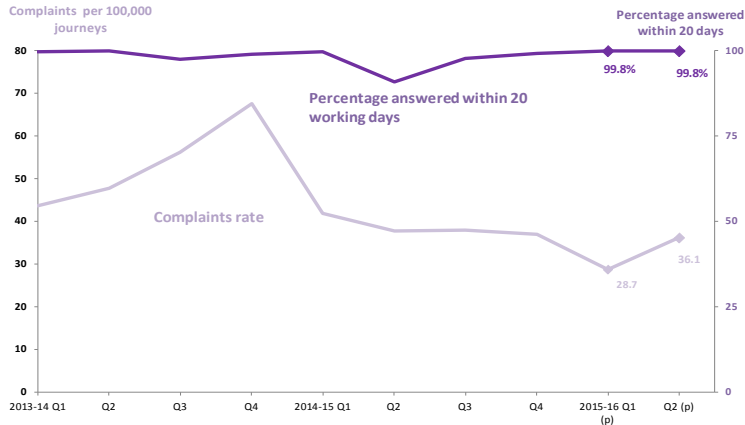
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Great Western Railway decreased from 37.8 to 36.1 (by 4.5%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, Great Western Railway responded to 99.8% of complaints, and to 96.8% of complaints in 2014-15. In Q1 and Q2 2015-16 it responded to 99.8% of complaints in each quarter.

Great Western Railway has set itself a more challenging response time of 5 working days. In Q1 and Q2 2015-16 it responded to 95.6% and 78.3% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Tickets and refunds
2. Quality on train - sufficient room
3. Quality on train - facilities on board
4. Staff conduct and availability
5. Ticket buying facilities

Great Western Railway reports that the primary driver of the complaints regarding quality on trains relates to the reservations not being provided leaving pre-reserved seats being taken by other passengers. The future increase in peak time capacity will help to address this. Great Western Railway also will ensure on-board staff have skills to resolve what can be a cause of confrontation between passengers involved.

Access and assistance

Great Western Railway's Disabled People's Protection Policy (DPPP) has been reviewed. This was completed in February 2016.

Total volume of assisted journeys booked, by rail period
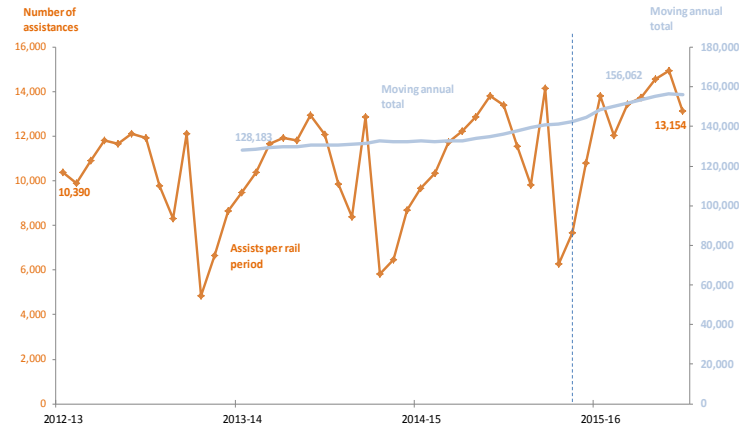
There were 156,062 booked assistances for the past 12 months up to rail period 7 2015-16, up by 14.6% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.5%.

In rail periods 1-7 2015-16 Great Western Railway trained, or re-trained, 1,572 staff. 184 staff received this training as part of induction. During the same period refresher training was delivered to 1,388 passenger-facing employees.

In rail periods 1-7 2015-16 Great Western Railway provided 493 alternative accessible transport journeys, such as taxis, for disabled passengers.
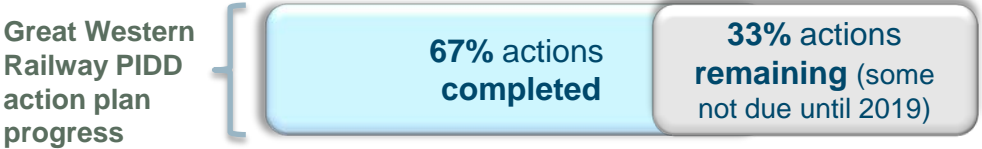
Great Western Railway reports that it provides free parking for disabled badge holders at station car parks and offers to refund the full cost of the journey if booked assistance is not provided. It has a priority seat card initiative to allow disabled passengers to find seats on services. It also fully redrafted both its passenger and policy DPPP documents, making them simpler, easier to read, and more user-friendly.

Great Western Railway

Passenger information during disruption

The Great Western Railway's passenger facing version of industry action plan is available on-line (here). It has completed on time 32 of the 48 industry actions with two actions completed ahead of the deadline – it reports that it now offers announcements when the train comes to a stop between stations within two minutes, and provides manual announcements in addition to current automated ones. Of the remaining actions, all are expected to be completed on time (some not due until March 2019). [1]

Great Western Railway PIDD action plan progress

67% actions completed

33% actions remaining (some not due until 2019)

Key passenger-facing industry actions reported by Great Western Railway

Where possible, provides estimates about how long the disruption will last.

Provides reasons for disruption in its messaging, for example via Twitter (@GWRHelp).

Provides alerts about journey disruption to its passengers via text message and email.

Provides manual announcements during disruption (alongside automated ones) at the stations and on trains.

In March 2016 has completed the action regarding the provision of service warnings for passengers during disruption, and already provides service warnings on its website.

Provides announcements within 2 minutes when the train comes to a stop between stations.

(Twitter examples):
GWR Help @GWRHelp — Follow
Due to a person hit by a train between Slough and Paddington, services will be disrupted. Check before you travel gwr.com/travel-updates…

GWR Help @GWRHelp — Follow
Lines between Weymouth and Yeovil Pen Mill have now reopened. Delays of up to 20 minutes still expected.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Great Western Railway in November 2015 in response to an ORR request for information.

Area	Position reported by Great Western Railway
Elimination of jargon terms	• TVMs used "Any Permitted" and "London Terminals".
Information on product range	• TVMs don't sell Advance tickets, Groupsave, Rovers/Rangers, and tickets from other stations but that fixed banner notices on its machines explain which products are and are not available and state that products not available from TVMs can be obtained from any ticket office or on board the train. Some machines still require labels to be applied but the production of the labels is underway. • Its longer term plan is to include some of the information on the fixed banner in on-screen information.
Information on ticket restrictions	• It operates two types of TVMs. One type provides better information that the other, making use of an information button to provide jargon free descriptions of, for example, the route or time a ticket is valid for.
Sale of off-peak fares	• TVMs are usually set to change from Peak to Off-Peak after the last Peak service has departed.
Filtering of fares	• Fares on its TVMs are usually listed, cheapest to most expensive and grouped by class of travel. Additional filtering is not offered.

[1] *One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*

Owner group: Heathrow Express Holdings

Operator: Heathrow Express

Operation start date: 23 June 1998

Routes operated: Provides an airport rail link between London Heathrow Airport and Paddington

Number of operated stations: Heathrow Express does not operate any stations

Heathrow Express

Below we present the data that Heathrow Express has so far made available to us. The train operator has not been able to provide us with all of the data it is required to deliver under its licence obligations. However, Heathrow Express has committed to work with us in the coming months to address the gaps in the reporting and to submit relevant policies for review. As a first step, we will meet with Heathrow Express in June 2016 to agree a work plan and a timetable to ensure it is in a position to fully meet these requirements.

Complaints handling

Heathrow Express submitted its Complaints Handling Procedure to us for approval in May 2016. We are currently reviewing this to consider if it meets the 2015 guidance on Complaints Handling Procedures.

The CHP guidance requires that TOCs respond to 95% of complaints within 20 working days. In periods 1-7 2015-16 Heathrow Express responded to 54.0% of the complaints it received within this timeframe. We will work closely with the operator over the coming months to help it develop a work plan to raise its performance to the required standard.

Heathrow Express has also set itself a more challenging target of responding to 100% of complaints within 15 working days. In periods 1-7 2015-16 it responded to 47.2% of complaints within that timeframe.

| Complaints by category	%
Delay/Cancelled/Suspended	32.3
Entertainment (including wifi)	3.0
Environment	5.0
Payment issues	7.5
Payment Request	0.6
Public announcements	1.6
Signage	1.4
Staff	10.6
Ticket issues	20.0
Toilets	3.3
Unused Ticket	3.7
Website and mobile app	11.2

The following categories show the type of complaints Heathrow Express received.

Heathrow Express currently provides complaints data to us that is categorised differently from all other train operators. We will work with it with a view to harmonising its reporting in line with the rest.

Access and assistance

Heathrow Express submitted background information on its DPPP to us on 18 March 2016. We have asked Heathrow Express to submit a DPPP comprised of a passenger-facing document and a policy document that are compliant with the 2009 guidance by 30 May 2016.

Number of assisted journeys booked, by rail period
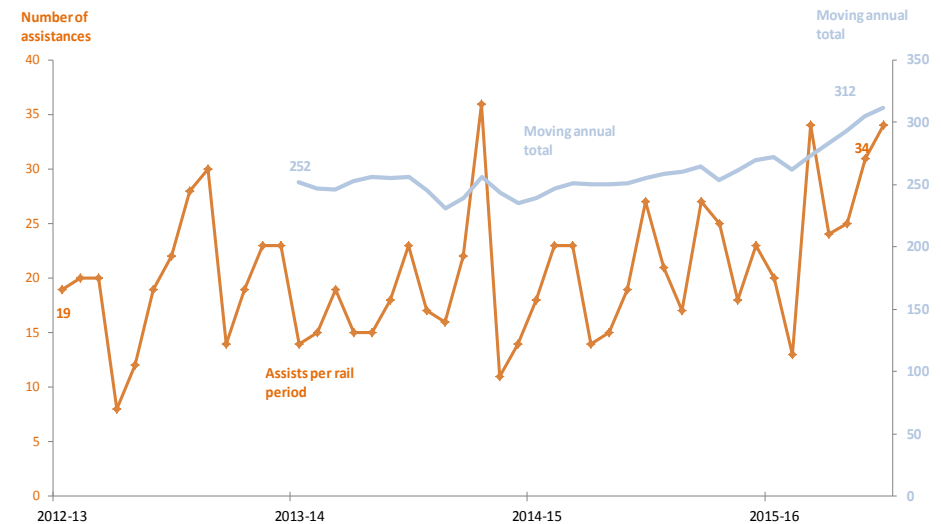
There were 312 booked assistances for the past 12 months up to 2015-16 P7, up by 22.4% compared to the same time period the year before.

Heathrow Express

Passenger information during disruption

Heathrow Express is yet to submit its code of practice for providing passenger information. We will work with the train operator to ensure that this is in place for next year's publication of the report.

Provision of information during disruption by Heathrow Express
Provides information for passengers during disruption on Twitter (@HeathrowExpress).
Provides reasons for disruption in its messaging on Twitter and its website.
Does not offers alerts about disruptions to their passengers.
Provides announcements about disruption on board of trains and on platforms.
A headline message about service provision is given on the Heathrow Express website to alert passengers when the service is disrupted.

Improving passenger experience of Ticket Vending Machines (TVMs)

! Not applicable – Heathrow Express does not operate any stations and does not own any TVMs.

London Midland

Owner group: Govia

Operator: London Midland

Franchise: West Midlands[1]

Franchise start and end date: 11 November 2007 – 15 October 2017

Routes operated: London Midland operates long-distance and commuter services on the West Coast Main Line from London Euston to and from the West Midlands

Number of employees: 2,353 employees in 2014-15

Number of operated stations: 148 stations in 2014-15

Volume for services: 65.3m passenger journeys in 2014-15

Financial information: Received a subsidy from the Government of £62.9m in 2014-15, equivalent to 2.7 pence of subsidy per passenger kilometre

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[1] West Midlands' franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/416165/RED_LM_Franchise_Agreement__x_.pdf.

London Midland

Complaints handling

London Midland has agreed to submit its revised Complaints Handling Procedure (CHP) for review and approval on 15 June 2016.

Complaints rate and complaint handling performance, by quarter
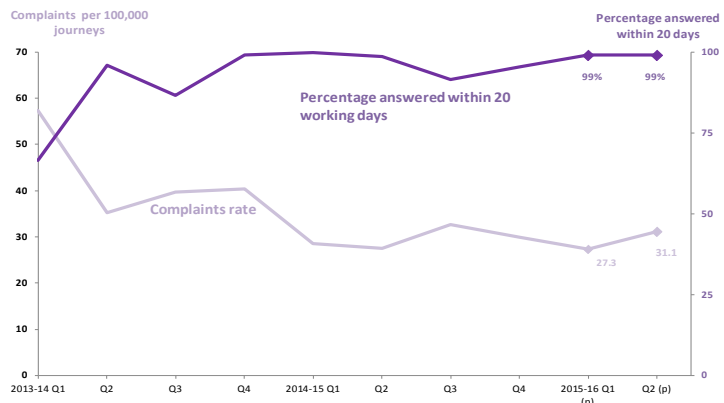
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by London Midland increased from 27.6 to 31.1 (by 12.8%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14 London Midland responded to 86.1% of complaints within 20 working days. This increased in 2014-15 to 96.0%. In Q1 and Q2 2015-16 it responded to 99% of complaints in each quarter.

London Midland has set itself a more challenging response time of 10 working days. In Q1 and Q2 2015-16 it responded to 95.6% and 91.0% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Punctuality and reliability
2. Fares and retailing
3. Quality on train
4. Company policy
5. Staff conduct and availability

The key issues driving complaints on fares and retailing have focused more on retailing facilities (80%) than the cost of tickets themselves (20%). In 2016, a further 28 self-service ticket machines will be installed at stations across the network, with a focus on those locations with no retailing facilities.

Access and assistance

London Midland's Disabled People's Protection Policy (DPPP) is currently under review.

Number of assisted journeys booked, by rail period
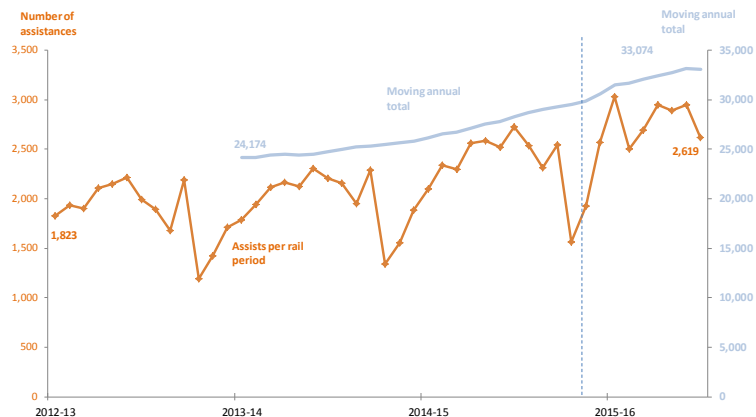
There were 33,074 booked assistances for the past 12 months up to rail period 7 2015-16, up by 16.9% compared to the same time period the year before.

In Q1 and Q2 2015-16 the number of accessibility related complaints was 0.8% and 0.7% respectively.

In rail periods 1-7 2015-16 104 staff undertook disability training. This was either part of induction training for new employees or included as part of general training for frontline staff.

In rail periods 1-7 2015-16 London Midland provided 138 alternative accessible transport journeys, such as taxis, for disabled passengers (an average of 20 bookings per rail period).

London Midland reports that it offers to refund the full cost of the journey if booked assistance is not provided. It also provides posters at stations to show those trains where it is easier to find a seat.

London Midland

Passenger information during disruption

The London Midland's industry action plan is available on-line ([here](#)) but difficult to locate on its website. London Midland has completed on time 30 of the 48 industry actions. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]
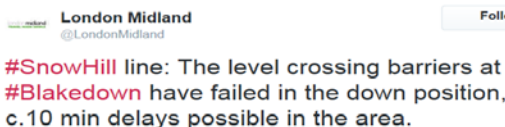
London Midland PIDD action plan progress

63% actions **completed**

37% actions **remaining** (some not due until 2019)
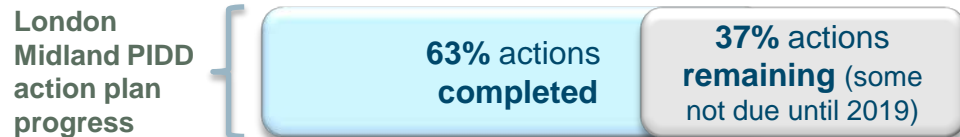
Key passenger-facing industry actions reported by London Midland

Where possible, provides estimates about how long the disruption will last.	**London Midland** @LondonMidland — Follow A road vehicle has struck a rail bridge south of #StokeOnTrent station. All train movements stopped until the structure is examined.
Provides reasons for disruption in its messaging, for example via Twitter (@LondonMidland).	**London Midland** @LondonMidland — Follow #SnowHill line: The level crossing barriers at #Blakedown have failed in the down position, c.10 min delays possible in the area.
Provides alerts about journey disruption to its passengers via email.	
Has committed to provide manual announcements during disruption at the stations (alongside automated ones) and on trains by March 2017.	
Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its website and app.	
Since March 2016 makes announcements within 2 minutes when the train comes to a stop between stations.	

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by London Midland in November 2015 in response to an ORR request for information.

Area	Position reported by London Midland
Elimination of jargon terms	• Govia responded to ORR on behalf of London Midland, Southeastern, and GTR. It reports ORR that it has different TVMs across its fleet and that these have different capabilities. • Uses jargon, such as "Any permitted" and "London Terminals" but "London Terminals" are defined in some cases but it said that there are limitations on its ability to remove jargon, arising from industry standards and data, resources and availability of software from suppliers.
Information on product range	• The tickets/products available at TVMs are restricted but that screen savers and labelling on machines explain what is and is not available from the machine and direct passengers to the relevant website if staffed station for the full range.
Information on ticket restrictions	• The key ticket restrictions are set so that they appear as default information on all TVMs. Where restrictions change or are more complex passengers are advised to seek information from the ticket office.
Sale of off-peak fares	• There is no set time frame and the display of Off-Peak and Super Off-Peak fares is governed by the timetable and station times allowed for changing trains.
Filtering of fares	• TVMs do not currently allow passengers to filter the results of their search but, as the default, show these results with the cheapest fare first.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: MTR Corporation & Arriva

Operator: London Overground Rail Operations Limited

TfL Concession: London Overground

Concession start and end date: 11 November 2007 - 12 November 2016

Routes operated: London Overground operates the following routes:
o   Richmond and Clapham Junction to Stratford
o   Watford Junction to Euston
o   Gospel Oak to Barking
o   Highbury & Islington to West Croydon and Clapham Junction
o   (From 31 May 2015) Liverpool Street to Enfield Town, Cheshunt (via Seven Sisters) and Chingford
o   (From 31 May 2015) Romford to Upminster

Number of employees: 1,157 employees in 2014-15

Number of operated stations: 57 stations in 2014-15

Volume of services: 140.1m passenger journeys in 2014-15

Financial information: Received a Government subsidy equivalent to 3 pence per passenger kilometre in 2014-15

London Overground

Complaints handling

London Overground's Complaint Handling Procedures (CHP) policy is currently being reviewed under the 2015 CHP guidance.

Complaints rate and complaint handling performance, by quarter
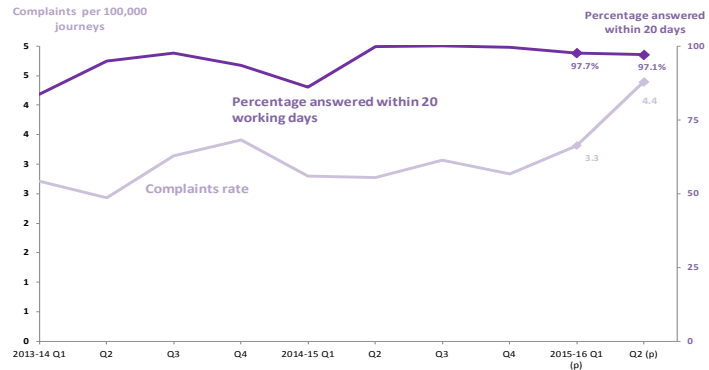
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by London Overground increased from 2.8 to 4.4 (by 58.7%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, London Overground responded to 92.5% of complaints within 20 working days. This increased in 2014-15 to 99.8%. In Q1 and Q2 2015-16 it responded to 97.7% and 97.1% of complaints respectively.

London Overground currently has a more challenging response time of 7 working days. Its revised CHP is currently under review and going forward it plans to respond to all correspondence within 20 working days.

Top areas for improvement (rail period 1-7 2015-16)

1. Punctuality & reliability
2. Ticket buying facilities
3. Staff conduct and availability
4. Information during disruption
5. Quality on train - sufficient room

London Overground reports that its punctuality and reliability complaints increased since it took on West Anglia services, due to some of the older trains used on these services which are less reliable. It has sought to mitigate these problems by making some improvements to the trains e.g. installing locks on inter-carriage doors so that just one coach is locked out of use as a result of door failure to allow the train to remain in service.

Access and assistance

London Overground's Disabled People's Protection Policy (DPPP) has been reviewed. This was completed in February 2016.

Number of assisted journeys booked, by rail period
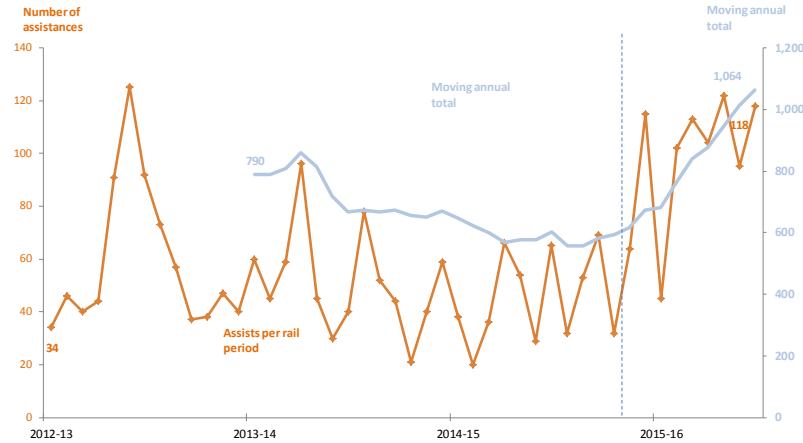
There were 1,064 booked assistances for the past 12 months up to rail period 7 2015-16, up by 76.7% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.4% and 0.2% respectively.

In rail periods 1-7 2015-16 307 staff received disability awareness training, as part of the induction process for new members of staff.

In rail periods 1-7 2015-16 London Overground provided 37 alternative accessible transport journeys (such as taxis) for disabled passengers.

London Overground reports that it offers a Turn up and Go assistance service to passengers who travel on its network. It also provides accessibility information online such as an audio map and step-free access guide.

London Overground
Passenger information during disruption

The London Overground's industry action plan is available on-line (here). London Overground has completed on time 29 of the 41 industry actions with two actions completed ahead of the deadline – train operator reports that its drivers have been briefed to make announcements when the train comes to a stop between stations within two minutes. Also, its staff provides manual announcements at the stations and on trains. Of the remaining actions, all are expected to be completed on time (some not due until March 2019). [1] [2]

London Overground PIDD action plan progress

71% actions completed	**29% actions remaining** (some not due until 2019)
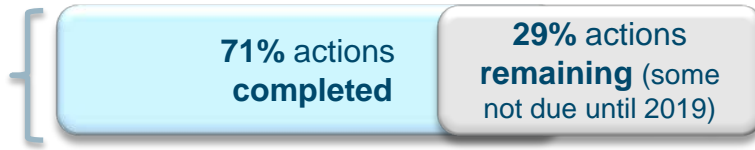
Key passenger-facing industry actions reported by London Overground

Where possible, it provides estimates about how long the disruption will last, for example via Twitter (@LDNOverground, provided centrally by TfL).	**London Overground** @LDNOvergound Follow Sunday 3 April, until 12:00, No service btn Gospel Oak and Barking to help prepare the line for electrification. Replacement buses operate.
Provides reasons for disruption in its messaging to passengers.	
Does not offer its own alerts for journey disruption for its passengers but this Information is available from Transport for London.	**London Overground** @LDNOver… 2h Update: Severe delays Watford Junction to Euston due to an earlier faulty train at Willesden Junction. Good service on all other routes. Details
Provides manual announcements at the stations and on trains (alongside the current automated ones).	
Provides announcements within 2 minutes when the train comes to a stop between stations.	

👍 London Overground reports that it introduced Pebble smartwatches so that its staff can get alerts on the platform without having to check their phones. The company also launched a searchable knowledgebase called "LOROLpedia" in October 2015. It has developed a new tool using real time Darwin data to enhance information provided to staff and control teams.

Improving the passenger experience at Ticket Vending Machines (TVMs)

This area focuses on the information provided by train operators in November 2015 in response to an ORR request for information. At the time we did not contact London Overground because the focus of the project was on franchise operators.

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[1] *Several PIDD action plans are not applicable to London Overground. For example, the provision of service warnings for passengers during disruption.*

[2] *One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*

Owner group: Serco-Abellio

Operator: Merseyrail

Franchise: Merseyrail[1]

Franchise start and end date: 9 November 2014 – 10 November 2029

Routes operated: Merseyrail runs services within Merseyside and communities just outside, formed of two lines known as the Northern Line and the Wirral Line, which run underground and interconnect in central Liverpool. Merseyrail is also a commuter rail network providing local services in Merseyside.

Number of employees: 1,251 employees in 2014-15

Number of operated stations: 66 stations in 2014-15

Volume of services: 44.3m passenger journeys in 2014-15

Financial information: Received a Government subsidy of £62.9m in 2014-15, equivalent to 2.7 pence subsidy per passenger kilometre

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[1] c2c's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/246422/c2c-interim-franchise-agreement.pdf.

Merseyrail

Complaints handling

> Merseyrail's CHP has been reviewed, and was approved under the 2015 guidance in March 2016.

Complaints rate and complaint handling performance, by quarter
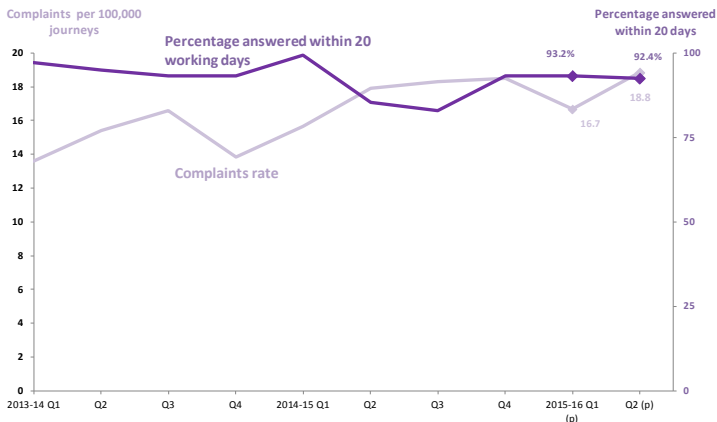
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Merseyrail increased slightly from 17.9 to 18.8 (by 5.2%) but largely remained stable.

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2014-15 Merseyrail responded to 86.9% of complaints within 20 working days. In Q1 and Q2 2015-16 it responded to 93.2% and 92.4% of complaints respectively.

Merseyrail has not set itself a more challenging response time.

Top areas for improvement
(rail period 1-7 2015-16)

1. Lack of information during disruption
2. Train failures
3. Ticket buying facilities - TVMs and ToD
4. Tickets at barriers
5. Quality on station

To address the lack of information made available to passengers during disruption, Merseyrail reports that it has created new guidance for front line staff to give them clear instructions for how to deal with service disruption (which focuses on ensuring passengers get the information they require.

> Merseyrail reports it has published a social media policy (available here)which sets out its policy regarding Twitter. It is drafted in plain English and is free of jargon.

Access and assistance

> Merseyrail's Disabled People's Protection Policy (DPPP) is currently under review.

Total volume of assisted journeys booked by rail period
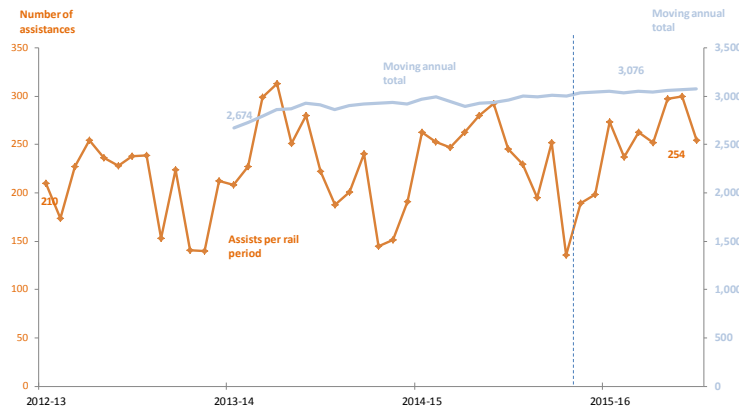
There were 3,076 booked assistances for the past 12 months up to rail period 7 2015-16, up by 4.0% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 2.3% and 1.8% respectively.

In rail periods 1-7 2015-16 293 staff undertook disability training (171 for equality training and 122 for disability awareness training).

In rail periods 1-7 2015-16 Merseyrail provided 284 alternative accessible transport journeys, such as taxis, for disabled passengers (an average of 41 bookings per rail period).

> Merseyrail reports that it only requires one hour's notice of assistance bookings for journeys on its network.

Merseyrail
Passenger information during disruption

The Merseyrail's industry action plan is available on-line ([here](#)) but it is difficult to navigate to it from the home page. Merseyrail has completed on time 29 of the 47[1][2] industry actions with two actions completed ahead of the deadline – Merseyrail reports that it now offers automated announcements when the train comes to a stop between stations within two minutes. Also, it provides manual announcements at the stations and on trains. Of the remaining actions, all are expected to be completed on time but one (some not due until March 2019). Merseyrail is yet to introduce the more meaningful reasons for delays on station information screens.

Merseyrail PIDD action plan progress

62% actions completed

38% actions remaining (some not due until 2019)
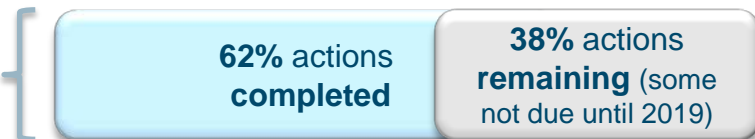
Key passenger-facing industry actions reported by Merseyrail
Where possible, provides estimates about how long the disruption will last via its website page.
Provides reasons for disruption in its messaging, eg via Twitter (@merseyrail).
Provides alerts about journey disruption to its passengers via email and via the Merseyrail App.
Provides manual announcements during disruption on trains (alongside the current automated ones).
Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its website.
Provides announcements within 2 minutes when the train comes to a stop between stations.
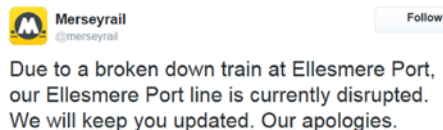
Merseyrail @merseyrail — Follow

Due to a broken down train at Ellesmere Port, our Ellesmere Port line is currently disrupted. We will keep you updated. Our apologies.

RETWEET 1

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Merseyrail in November 2015 in response to an ORR request for information.

Area	Position reported by Merseyrail
Elimination of jargon terms	• With the exception of "Liverpool Stations", its local network tickets, and the TVM, display the full station name. "Liverpool stations" allows access at all four adjacent stations in the city centre, which Merseyrail feels gives an improved customer experience over specifying individual stations and reducing passenger options. • It is reliant on rail industry feeds for terms and descriptions for station names and routes not controlled by us, for example London Terminals and unntil the industry comes up with an acceptable replacement for "Any Permitted", this is what it has to use.
Information on product range	• It has added a two page screen saver to its TVMs which sets out what products are and are not available from them.
Information on ticket restrictions	• TVMs display a summary of basic ticket restriction information as well as a QR code that links to more information about tickets generally but that it does not have the functionality to change restriction text at a local level.
Sale of off-peak fares	• TVMs provide the functionality to purchase an Off-Peak ticket 9 minutes before Off-Peak starts on its network (at 09:30). This ensures passengers are able to purchase Off-Peak tickets before their train.
Filtering of fares	• Displays the cheapest appropriate ticket. This takes into consideration that on its network Railcards can be used with Standard Anytime tickets, but not the Merseyrail Day Saver which becomes more problematic with other TOC's tickets that also have an afternoon peak restriction.

[1] *Merseyrail does not use automated announcements therefore does not have to remove the apology from them.*

[2] *One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*

Northern

Owner group: Serco-Abellio / Arriva

Operator: Northern Rail

Franchise[1]**:** Northern

Franchise start and end date:

Northern Rail: 12 December 2004 – 31 March 2016

Northern: 1 April 2016 – 31 March 2025

Routes operated: Northern runs services across the north of England from Staffordshire and Nottinghamshire to Cumbria and Northumberland

Number of employees: 5,051 employees in 2014-15

Number of operated stations: 463 stations in 2014-15

Volume of services: 96.4m passenger journeys in 2014-15

Financial information: Received a Government subsidy of £112.7m in 2014-15, equivalent to 4.9 pence subsidy per passenger kilometre

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[1] Northern Rail's franchise agreement is available on the Government website: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/417807/northern-franchise-agreement.pdf

Northern[1]

Complaints handling

> Arriva commenced operation of this franchise on 1 April 2016. Northern's Complaint Handling Procedures (CHP) policy was approved in March 2016, ahead of the start of the franchise.

Complaints rate and complaint handling performance, by quarter
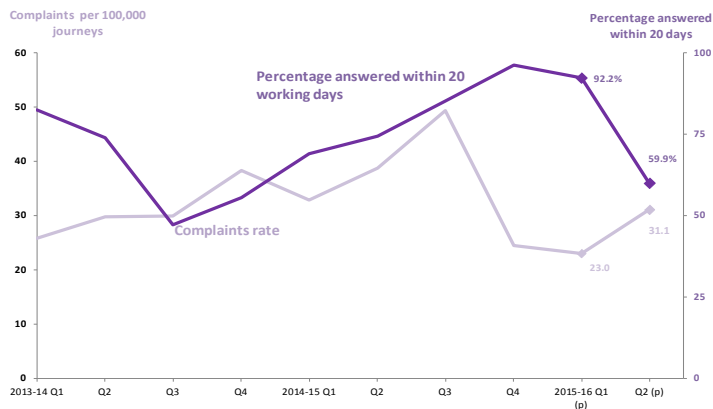
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Northern Rail decreased from 38.7 to 31.1 (by 19.8%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, Northern Rail responded to 62.8% of complaints within 20 working days. This increased in 2014-15 to 80.8%. In Q1 and Q2 2015-16 it responded to 92.2% and 59.9% of complaints respectively.

Northern Rail has not set itself a more challenging response time.

Top areas for improvement
(rail period 1-7 2015-16)

1. Punctuality / reliability of trains
2. Ticketing and refunds policy
3. Insufficient seating or standing room
4. Helpfulness / attitude of staff
5. Ticket buying facilities

To address complaints about the punctuality of its trains, Northern Rail reports that it has begun using GPS technology to better capture train running information. This will help ensure that actual arrival and departures times are accurately reflected in its timetable.

> Northern reports that its new website (here) provides a clear pathway for consumers to complain, with a clearly identifiable link to the complaints form. It has a separate page on complaints, with a link to the CHP, information about what to include in the complaint, links to Delay Repay, as well as the contact details for Transport Focus.

Access and assistance

> Arriva commenced operation of this franchise on 1 April 2016. Northern's Disabled People's Protection Policy (DPPP) was approved in March 2016, ahead of the start of the franchise.

Total volume of assisted journeys booked, by rail period
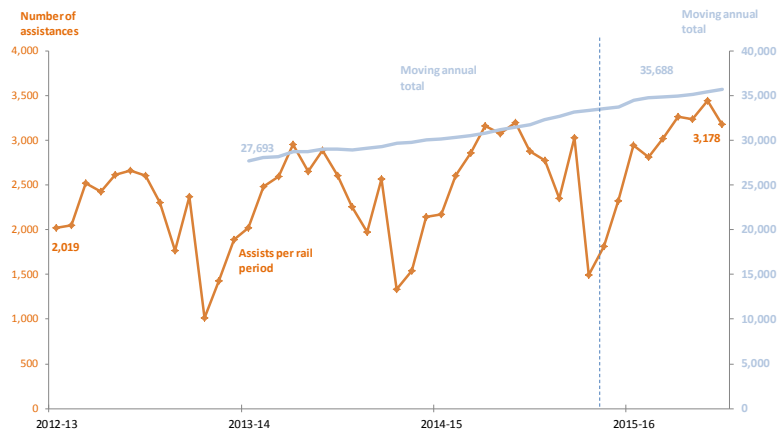
There were 35,688 booked assistances for the past 12 months up to rail period 7 2015-16, up by 12.3% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.6% in each quarter.

In rail periods 1-7 2015-16 2,600 staff undertook disability awareness training. This includes a dedicated module for all trainee conductors to ensure they are equipped with the awareness and skills assist disabled passengers.

In rail periods 1-7 2015-16 Northern Rail provided 97 alternative accessible transport journeys, such as taxis, for disabled passengers (an average of 15 bookings per rail period).

> Northern reports that it has produced a step-free map, introduced labelling for priority seating to allow disabled passengers to find seats on services, and committed to partnering with the charity Blue Assist to allow passengers to communicate their needs to staff by using a card or mobile app.

[1]Where data and information refer to the franchise operation under Serco-Abellio, it is labelled "Norther Rail", and under Arriva UK Trains - "Northern".
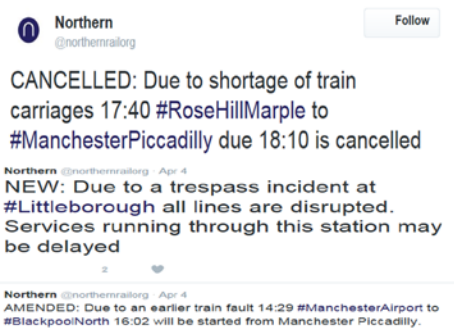
Northern

Passenger information during disruption

The Northern's industry action plan is currently not available on-line (Northern reports that it will be accessible from its website by July 2016). Northern Rail has completed on time 28 of the 48 industry actions with one action completed ahead of the deadline –train operator reports that it provides announcements within 2 mins when the train comes to a stop . [2] Of the remaining actions, all are expected to be completed on time but one (some not due until March 2019) . Northern is yet to introduce the more meaningful reasons for delays on station information screens.

Northern Rail PIDD action plan progress

58% actions **completed**

32% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Northern Rail

Where possible, provides estimates about how long the disruption will last.

Provides reasons for disruption
In its messaging (@northernassist[3]).

Provides alerts about journey disruption to its passengers via text message and email.

Has committed to provide manual announcements during disruptions at staffed stations (alongside automated ones) and on trains by March 2017.

Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017.

Provides announcements within 2 mins when the train comes to a stop between stations. This is embedded in the training for all conductors.

Northern @northernrailorg Follow

CANCELLED: Due to shortage of train carriages 17:40 #RoseHillMarple to #ManchesterPiccadilly due 18:10 is cancelled

Northern @northernrailorg · Apr 4
NEW: Due to a trespass incident at #Littleborough all lines are disrupted. Services running through this station may be delayed

Northern @northernrailorg · Apr 4
AMENDED: Due to an earlier train fault 14:29 #ManchesterAirport to #BlackpoolNorth 16:02 will be started from Manchester Piccadilly.

Northern reports that it has introduced new information screens at 140 stations. These include digital information screens at some of its more rural stations which in addition to departure information also give access to the Northern Rail twitter feed, news and the weather forecast (here)

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Northern Rail in November 2015 in response to an ORR request for information.

Area	Position reported by Northern Rail
Elimination of jargon terms	• It has different TVMs in its fleet (of different ages) which have differing capabilities. As an example, some use "London Terminals" but will explain what this means when selected, whereas others don't. Some use "Any permitted" but are being upgraded so that they will pick up new customer friendly text delivered by the industry feeds on which they are reliant.
Information on product range	• TVMs do not offer Ranger, Rover or its Northern Rail DUO products. • It has placed posters on its machines to advise passengers of this and direct them to ticket offices (where available)/customer services.
Information on ticket restrictions	• TVMs display information on restrictions when a ticket is selected.
Sale of off-peak fares	• The timing of Off-Peak tickets being offered for sale varies according to location and service frequency and can be between 0 and 15 minutes after the departure of the last Peak service.
Filtering of fares	• TVMs list fares by ticket type.

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[2] *One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*
[3] *Twitter handle change took place with the change of the franchise (from @northernrailrailorg to @northernassist).*

Owner group: Abellio

Operator: Abellio ScotRail

Franchise: ScotRail[1]

Franchise start and end date: 1 April 2015 – 31 March 2025

Routes operated: ScotRail operates commuter and long-distance services within Scotland as well as some cross-border services to England

Number of employees: 4,966 employees in 2014-15

Number of operated stations: 347 stations in 2014-15

Volume of services: 92.7m passenger journeys in 2014-15

Financial information: Received a Government subsidy of £262.1m in 2014-15, equivalent to 8.6 pence subsidy per passenger kilometre

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[1] Abellio ScotRail's franchise agreement is available on the Government website: http://www.transportscotland.gov.uk/system/files/documents/tsc-basic-pages/Redacted%20Franchise%20Agreement%20-%20CU%20version.pdf. Abellio ScotRail succeeded First ScotRail (owned by FirstGroup) which operated the ScotRail franchise from October 2004 until March 2015.

ScotRail

Complaints handling

ScotRail's CHP has been reviewed, and was approved under the 2015 guidance in March 2016.

Complaints rate and complaint handling performance, by quarter
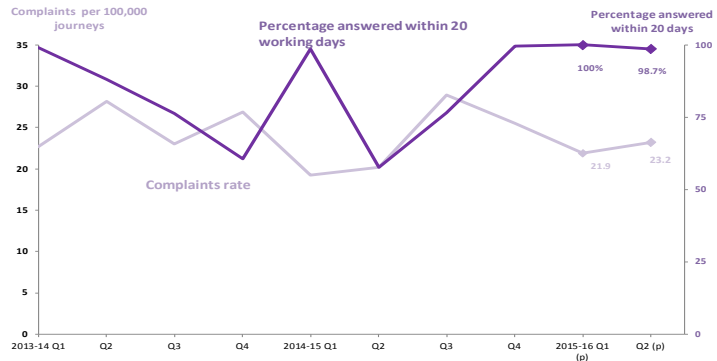
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by ScotRail increased from 20.2 to 23.2 (by 14.9%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14, ScotRail responded to 80.4% of complaints within 20 working days. This increased in 2014-15 to 83.0%. In Q1 and Q2 2015-16 it responded to 100% and 98.7% of complaints respectively.

ScotRail has set itself a more challenging response time of 7 working days. In Q1 and Q2 2015-16 it responded to 97.3% and 62.8% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Train reliability and punctuality
2. Ticket and refund policy
3. Insufficient seating /standing room on train
4. Availability / helpfulness of staff at station
5. Provision of information on web or mobile app

ScotRail reports that it has established 'On Time' senior management working groups to better identify and mitigate the causes of delays, and their impact when they occur.

ScotRail reports that it commits to respond in full to 95% of complaints received within 7 working days. ScotRail will also provide passengers with a £5 rail travel voucher if the 7 day response target is not fulfilled.

Disabled people's access and assistance

ScotRail's Disabled People's Protection Policy (DPPP) has been reviewed. This was completed in May 2016.

Number of assisted journeys booked, by rail period
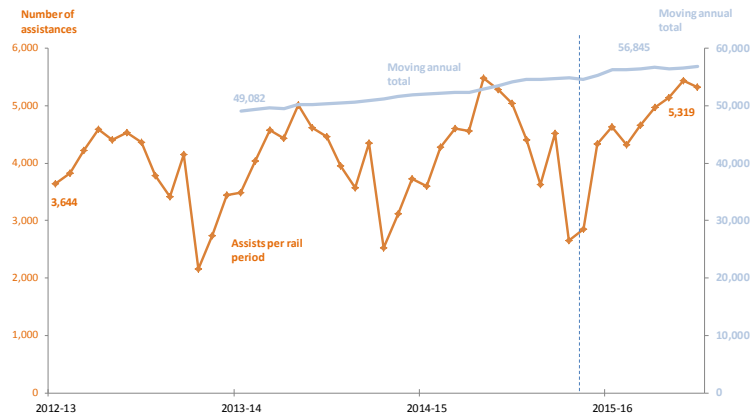
There were 56,845 booked assistances for the past 12 months up to rail period 7 2015-16, up by 5.1% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.0% and 1.1% respectively.

In rail periods 1-7 2015-16 ScotRail trained, or re-trained, 144 staff on some form of disability or equality awareness training.

In rail periods 1-7 2015-16 ScotRail provided 133 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 20 bookings per rail period).

ScotRail reports that it provides free parking at its station car parks for blue badge holders.

ScotRail

Passenger information during disruption

The ScotRail's industry action plan is available on-line ([here](#)) but it is difficult to navigate to it from the home page. ScotRail has completed on time 31 of the 48[1] industry actions with two actions completed ahead of the deadline – ScotRail now offers announcements when the train comes to a stop between stations within two minutes as well as banners for disruptions on its website and mobile app. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]

ScotRail PIDD action plan progress

65% actions **completed**

35% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by ScotRail

Where possible, provides estimates about how long the disruption will last.	**ScotRail** @ScotRail Follow CLEARED: #Gorebridge - Disruption caused by fault with signalling system earlier has now ended. Services are no longer affected. ^L
Provides reasons for disruption in its messaging, eg via Twitter (@ScotRail).	**ScotRail** @ScotRail Follow UPDATE: Train fault at #Uphall resolved. Helensburgh/Milngavie/Edinburgh services returning to normal. Residual disruption till 08.30
Provides alerts about journey disruption to its passengers via email and text message.	

Has committed to provide manual announcements (alongside automated ones) during disruptions at the stations and on trains by March 2017.

Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its website.

Provides announcements within 2 minutes when the train comes to a stop between stations.

👍 ScotRail reports that it offers ticket acceptance with bus companies in Aberdeen, Inverness, Glasgow, Edinburgh and Inverclyde, and with trams in Edinburgh and the Subway in Glasgow. ScotRail reports that a new Contingency App has been developed which provides staff with a single source of information eg on alternative travel arrangements.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Scotrail in November 2015 in response to an ORR request for information.

Area	Position reported by ScotRail
Elimination of jargon terms	• TVMs currently use the types of jargon highlighted in our questionnaire but says that it is working to remove these and expects this should be completed by Q3 2016.
Information on product range	• The products available from its TVMs are limited, compared to what is available at other points of sale. • It has put signage on most of its TVMs, outlining the products that are and are not available from them – although 18% of TVMs are not labelled due to space considerations. • Its website details, for each product type, the channels through which they are available.
Information on ticket restrictions	• Information on ticket restrictions is not consistently provided on its TVMs. • The planned enhancements will provide clearer definitions of Peak and Off-Peak times by Q3 2016.
Sale of off-peak fares	• TVMs start selling Off-Peak tickets five minutes before the Off-Peak period begins, to minimise confusion for passengers.
Filtering of fares	• Tickets are displayed in price order but tickets will not be displayed if they are not valid for the journey the customer has selected. • There is no option for the customer to further filter their ticket choices. • It is installing 136 new TVMs across the network which will have additional functionality for audio assistance for passengers when purchasing tickets by TVMs. The help button will put passengers through to a customer service assistant based within the Contact Centre. Full installation will be complete by August 2016.

[1]*One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.*

southeastern

Owner group: Govia

Operator: Southeastern

Franchise: Integrated Kent Franchise[1]

Franchise start and end date: 1 April 2006 – 24 June 2018

Routes operated: Southeastern operates the commuter routes to south-east London, most of Kent, and parts of East Sussex

Number of employees: 4,065 employees in 2014-15

Number of operated stations: 176 stations in 2014-15

Volume for services: 185.8m passenger journeys in 2014-15

Financial information: Received a Government subsidy of £32.5m in 2014-15, equivalent to 0.7 pence subsidy per passenger kilometre

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[1] Southeastern's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/485668/red_lser-rail-franchise-agreement.pdf.

Southeastern

Complaints handling

Southeastern has agreed to submit its revised Complaints Handling Procedure (CHP) for review and approval by 15 June 2016.

Complaints rate and complaint handling performance, by quarter
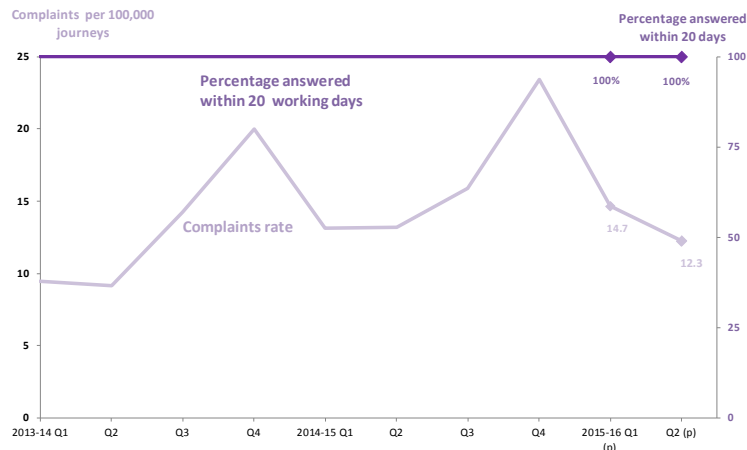
From Q2 2014-15 to Q2 2015-16) the number of complaints per 100,000 passenger journeys received by Southeastern decreased from 13.2 to 12.3 (by 7.3%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2012-13 Southeastern responded to 95% of complaints within 20 working days. This increased to 100% in 2014-15. In Q1 and Q2 2015-16 it responded to 100% of complaints in each quarter.

Southeastern has set itself a more challenging target of responding to 90% of complaints within 10 working days. in 10 working days. In Q1 and Q2 2015-16 it responded to 100% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Train service performance
2. Retailing and fares
3. Staff conduct and availability
4. Company policy
5. Quality on train

Regarding passenger complaints on ticket purchase and being charged admin fees on refunds, Southeastern reports that it installed 31 additional ticket vending machines at stations, with another 32 planned by October 2016. It also says that administration fees have now been removed from the refund process. Southeastern also reports that it is starting a passenger experience training course in summer 2016 for all front line staff. This will focus on staff behaviour, with the aim to improve customer satisfaction.

Access and assistance

Southeastern's Disabled People's Protection Policy (DPPP) has been reviewed. This was completed in April 2016.

Number of assisted journeys booked, by rail period
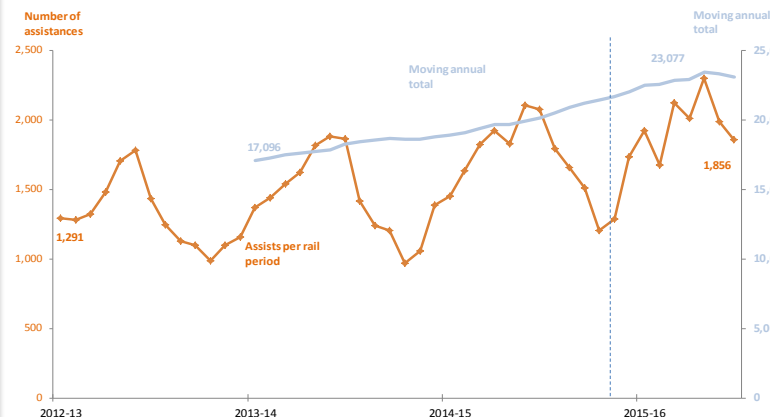
There were 23,077 booked assistances for the past 12 months up to rail period 7 2015-16, up by 14.7% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.4% and 1.6% respectively.

In rail periods 1-7 in 2015-16 202 staff received disability awareness training, as part of the induction process for new members of staff. Southeastern is currently in the process of re-briefing its current staff – over 450 staff have been re-briefed.

In rail periods 1-7 2015-16 Southeastern provided 696 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 99 bookings per rail period).

Southeastern reports that it provides free parking at its station car parks for blue badge holders. It also offers a refund if assistance booked 12 hours in advance on its own rail services is not provided.

Southeastern

Passenger information during disruption

The Southeastern's industry action plan is available on-line (here) but difficult to locate on its website. Southeastern has completed on time 29 of the 48 industry actions. [1] Of the remaining actions, all are expected to be completed on time but one (some not due until March 2019). Southeastern is yet to introduce the more meaningful reasons for delays on station information screens.

Southeastern PIDD action plan progress

60% actions completed   **40% actions remaining** (some not due until 2019)
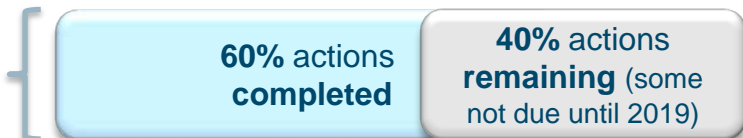
Key passenger-facing industry actions reported by Southeastern

Where possible, provides estimates about how long the disruption will last (@Se_Railway)	**se** Southeastern @Se_Railway Follow
Provides reasons for service disruption in its messaging (eg on Twitter).	Because of speed restrictions, trains on the #MaidstoneEastLine may be delayed by up to 15 minutes towards London. More to follow...

Provides alerts about journey disruption via email and text message to its passengers.

Has committed to provide manual announcements (alongside automated ones) at the stations and on trains by March 2017.

Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017 and already provides service warnings on its website.

Since March 2016 makes announcements within 2 minutes when the train comes to a stop between stations.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Southeastern in November 2015 in response to an ORR request for information.

Area	Position reported by Southeastern
Elimination of jargon terms	• Govia responded to ORR on behalf of London Midland, Southeastern, and GTR. It reports ORR that it has different TVMs across its fleet and that these have different capabilities. • It used jargon, such as "Any permitted" and "London Terminals" but "London Terminals" are defined in some cases. • There are limitations on its ability to address jargon, arising from industry standards and data, resources and availability of software from suppliers.
Information on product range	• The tickets/products available at TVMs are restricted but that screen savers and labelling on machines explain what is and is not available from the machine and direct passengers to the relevant website or staffed station for the full range.
Information on ticket restrictions	• The key ticket restrictions are set so that they appear as default information on all TVMs. Where restrictions change or are more complex passengers are advised to seek information from the ticket office.
Sale of off-peak fares	• There is no set time frame and the display of Off-Peak and Super Off-Peak fares is governed by the timetable and station times allowed for changing trains.
Filtering of fares	• TVMs do not currently allow passengers to filter the results of their search but, as the default, show these results with the cheapest fare first.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

SOUTH WEST TRAINS

Owner group: Stagecoach Group

Operator: South West Trains

Franchise: South Western[1]

Franchise start and end date: 4 February 2007 – 4 February 2017

Routes operated: South West Trains operates passenger services, mostly out of London Waterloo station, to the South West of London and in the counties of Surrey, Hampshire, Dorset, Devon, Somerset, Berkshire, and Wiltshire and on the Isle of Wight

Number of employees: 4,760 employees in 2014-15

Number of operated stations: 186 stations in 2014-15

Volume of services: 229.9m passenger journeys were made in 2014-15

Financial information: Made a premium payment to the Government of £374.3m in 2014-15, equivalent to 6 pence per passenger kilometre

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[1] South Western's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/395184/RED_SSWT_Franchise_Agreement__x___1_.pdf.

South West Trains

Complaints handling

South West Trains Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter

From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by South West Trains decreased from 14.7 to 13.2 (by 10.2%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14 South West Trains responded to 50.7% of complaints within 20 working days. This decreased in 2014-15 to 48.5%. In Q1 and Q2 2015-16 it responded to 57.3% and 92.2% of complaints respectively.

South West Trains has set itself a more challenging response time. This is to reply to 90% of complaints received within 10 working days. In Q1 and Q2 2015-16 it responded to 20.4% and 28.6% of complaints respectively.

Top areas for improvement (rail period 1-7 2015-16)

1. Punctuality & reliability
2. Quality on train - sufficient room
3. Fares and retailing
4. Staff conduct and availability
5. Information during disruption

South West Trains reports growing passenger numbers. It reports that, to address this, it introduced a new timetable in December 2015 and is providing more seats and extra carriages, as well as extending services to stop at more stations.

Access and assistance

South West Trains Disabled People's Protection Policy (DPPP) is currently under review.

Number of assisted journeys booked, by rail period
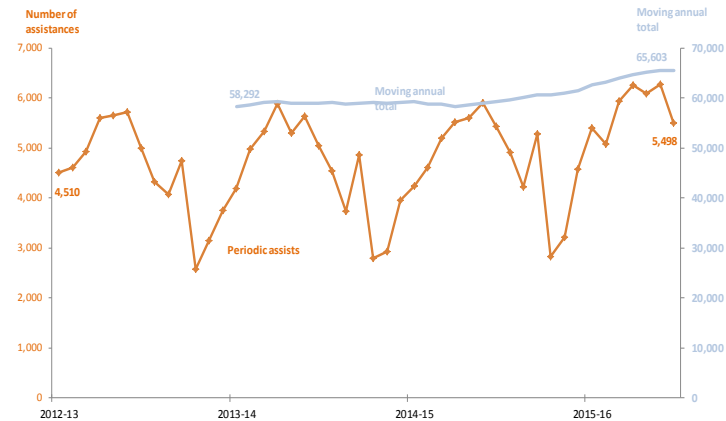
There were 65,603 booked assistances for the past 12 months up to rail period 7 2015-16, up by 10.6% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.7% and 1.2% respectively.

In rail periods 1-7 in 2015-16 99 staff received disability awareness training. South West Trains reported that training is provided when an individual joins the company or if they transfer internally from a non customer facing role to a customer facing role.

In rail periods 1-7 2015-16 South West Trains provided 51 alternative accessible transport journeys (such as taxis) for disabled passengers.
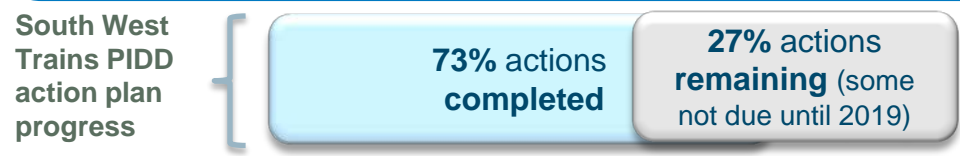
South West Trains reports that passengers travelling with an assistance dog on its services can upgrade to first class for free without having to wait for the guard's approval when there are no standard class seats available. In addition, South West Trains further reports that it plans to introduce additional ticket machines at many stations in 2016. These will provide a video connection between the ticket purchaser and a remote ticket agent, who is able to assist with the ticket purchase if necessary.

South West Trains
Passenger information during disruption

The South West Trains' industry action plan is available on-line (here). South West Trains completed on time 35 of the 48 industry actions with three actions completed ahead of the deadline. South West Trains reports that manual announcements during disruptions are provided on trains and at stations (alongside the automated updates), South West Trains also makes announcements within 2 minutes when the train comes to a stop between station, and provides service warnings during disruption via its website and app. Of the remaining actions, all are expected to be completed on time (some not due until March 2019)[1].

South West Trains PIDD action plan progress

73% actions **completed**   **27%** actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by South West Trains

Where possible, provides estimates about how long the disruption will last.	**South West Trains** @SW_Trains Follow
Provides reasons for service disruption in its messaging (@SW_Trains).	#IncidentSWT Trains are being delayed in the Brockenhurst area due to a fault on a freight train

Provides alerts about journey disruption via email and text message to its passengers.

Provides manual announcements during disruption at the stations (alongside automated ones) and on trains.

Provides service warnings for passengers during disruption on its website and app.

Provides announcements within 2 minutes when the train comes to a stop between stations.

👍 South West Trains has introduced free Wi-Fi on its Desiro (class 444 and 450) trains and recently onto its West of England (class 158 and 159) services. South West Trains has also updated the technology available to frontline staff by replacing Blackberrys with iPhones.

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by South West Trains in November 2015 in response to an ORR request for information.

Area	Position reported by South West Trains
Elimination of jargon terms	• TVMs use railway jargon, such as "London Terminals" and "Any permitted". However, it says that "London Terminals" has been improved by the addition of a button that lists the stations included. • It reports that the challenges to making improvements are primarily associated with the industry data feeds but that it is installing over 90 virtual ticket offices, giving passengers a 24 hour video link to a dedicated call centre.
Information on product range	• TVMs support the following ticket types: Monthly season ticket renewals; Oyster; ITSO, car park tickets; Tickets for Tomorrow; Plus Bus; and promotional tickets. A customer information panel on its TVMs advises passengers of the available tickets/products and directs them to further help. • Plans to extend the range offered to support the following during 2016: Groupsave; Boundary Zone Extension; Anywhere to Anywhere; ITSO season tickets up to 12 months; tickets for 28 days in advance; and improvements for the visually impaired.
Information on ticket restrictions	• Some restrictions, such as time restrictions, are difficult to present on screen – as a result of industry requirements and data feeds.
Sale of off-peak fares	• This is dependent on the timetable but fares are made available within 5 minutes of the departure of the last Peak train.
Filtering of fares	• Passengers are shown the relevant fares based on the following filters: route and ticket type. • Currently in the process of introducing "Customer Ambassadors" at stations who will provide assistance for passengers at TVM's if they are unsure about their purchase..

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: FirstGroup

Operator: Transpennine Express

Franchise: TransPennine Express franchise[1]

Franchise start and end date: 1 April 2016 – 31 March 2023

Routes operated: Transpennine Express runs passenger services in northern England linking the west and east coasts across the Pennines, radiating from Manchester and linking cities such as Edinburgh, Glasgow, Liverpool, Sheffield, Hull, Leeds, York, Scarborough and Newcastle

Number of employees: 1,240 employees in 2014-15

Number of operated stations: 30 stations in 2014-15

Volume of services: 28.6m passenger journeys in 2014-15

Financial information: Received a Government subsidy of £43.5m in 2015, equivalent to 2.3 pence subsidy per passenger kilometre

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[1] First Transpennine Express' franchise agreement is available on the Government website: https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/488170/TransPennine_Express_Franchise_Agreement.pdf. Transpennine Express franchise took over Transpennine franchise which was originally jointly owned by the FirstGroup and Keolis and run 1 February 2004 – 1 April 2016. When the franchise was re-tendered, FirstGroup and Keolis elected to tender separately. The franchise was awarded to FirstGroup, who will take 100% ownership on 1 April 2016 (until 31 March 2023).

Transpennine Express[1]

Complaints handling

First Group commenced operation of this franchise on 1 April 2016. Therefore Transpennine Express' Complaint Handling Procedures (CHP) was approved by ORR in March 2016, ahead of the start of the franchise.

Complaints rate and complaint handling performance, by quarter
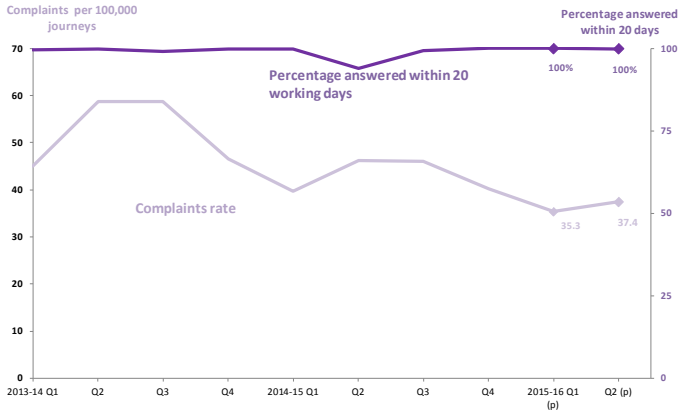
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by First Transpennine Express decreased from 46.2 to 37.4 (by 18.9%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14 First Transpennine Express responded to 99.5% of complaints within 20 working days, which decreased in 2014-15 to 98.2%. For Q1 and Q2 2015-16 it responded to 100% of complaints in each quarter.

First Transpennine Express has set itself a more challenging response time of 5 working days. In Q1 and Q2 2015-16 it responded to 98.0% and 95.3% of complaints respectively.

Top areas for improvement
(rail period 1-7 2015-16)

1. Quality on train - on-board facilities
2. Staff conduct and availability
3. Customer service at the station
4. Cleanliness of trains
5. Quality on train - catering

In response to feedback from its customers, to improve service First Transpennine Express now employs permanent rail replacement co-ordinators (instead of on a job by job basis). When there is no rail replacement activity, the co-ordinators support non- First Transpennine Express station staff in providing customer service at these stations.

Transpennine Express reports that it operates a 'Back on Track' scheme which allows staff to give compensation or free upgrades to rectify complaints on the spot.

Access and assistance

First Group commenced operation of this franchise on 1 April 2016. Therefore Transpennine Express' Disabled People's Protection Policy (DPPP) was reviewed in March 2016, ahead of the start of the franchise.

Total volume of assisted journeys booked, by rail period
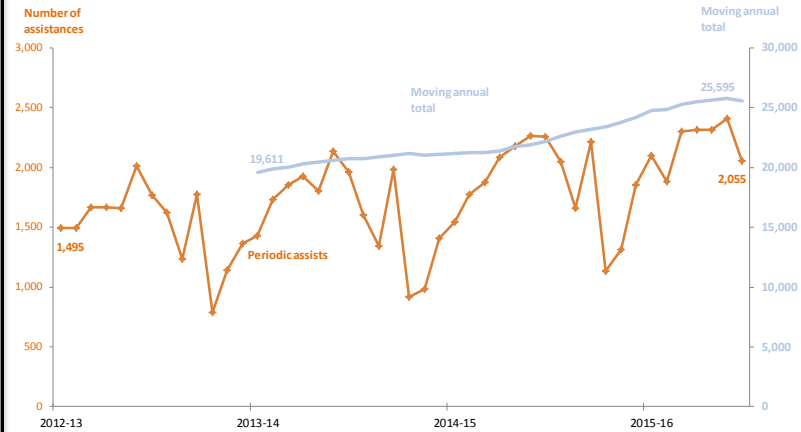
There were 25,595 booked assistances for the past 12 months up to rail period 72015-16, up by 15.3% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.7% and 0.9% respectively.

In rail periods 1-7 2015-16 46 staff undertook disability and equality training as part of the general induction process. This included a session on ''keeping customers safe and well', where staff were trained to look out for potentially vulnerable passengers.

In rail periods 1-7 2015-16 First Transpennine Express provided 78 alternative accessible transport journeys, such as taxis, for disabled passengers (an average of 11 bookings per rail period).

Transpennine Express reports that it provides compensation to passengers when booked assistance is not provided. It also provides free parking at its station car parks for blue badge holders.

[1] Where data and information refer to the franchise operation under First Group and Keaolis, it is labelled "First Transpennine Express", and under First Group - "Transpennine Express".
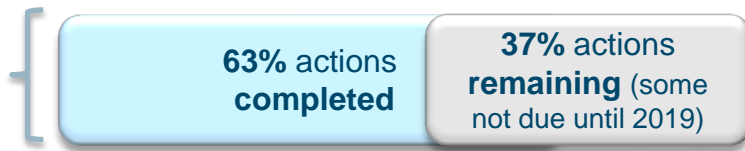
Transpennine Express
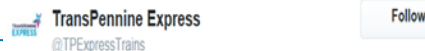
Passenger information during disruption

The Transpennine Express industry action plan is available on-line (here). First Transpennine Express has completed on time 30 of the 48 industry actions with one action completed ahead of the deadline – it makes announcements within 2 minutes when the train comes to a stop between stations. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]

First Transpennine Express PIDD action Plan progress

63% actions **completed**

37% actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Transpennine Express
Does not provide estimates about how long the disruption will last on Twitter. Instead, it often provides links to its journey check page (here) which gives more detailed information including estimates and details of specific trains.
Provides reasons for disruption in its messaging (@TPExpressTrains).
Provides alerts about journey disruption to its passengers via website (link).
Has committed to provide manual announcements during disruption at the stations and on trains (alongside automated ones) by March 2017.
Has committed to complete the action regarding the provision of service warnings for passengers during disruption by March 2017.
Provides announcements within 2 minutes when the train comes to a stop between stations.

TransPennine Express @TPExpressTrains   Follow

INFO:Due to trespassers on the railway, trains through #Huddersfield & #Stalybridge subject to delay & canc bit.ly/22KUNvk

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by First Transpennine Express in November 2015 in response to an ORR request for information.

Area	Position reported by First Transpennine Express
Elimination of jargon terms	• Jargon such as "Northern Duo", "Hull Train only" and "Via Doncaster" is used. • There are challenges in removing jargon due to wording used by other train operators and large volumes of routes. • It is introducing new, next generation TVMs, by the end of September which will address many of the issues currently faced by customers and will be commissioning a review of the language it uses to ensure information presented about tickets is as clear as possible, including looking to eliminate as much jargon as possible.
Information on product range	• Child fares, Northern Duo and advanced purchase tickets are not available via its TVMs. Signage has been placed on all TVMs to highlight this and passengers can purchase these at the ticket office. • It considers including this information on display screens rather than signs. • Transpennine Express will be providing access to the full product range including the ability to purchase Advance Purchase specific fares, from December this year.
Information on ticket restrictions	• Information on ticket restrictions (eg Off Peak and Super Off Peak) is provided on TVM screen.
Sale of off-peak fares	• Off Peak tickets are usually for sale after 9.30am.
Filtering of fares	• Tickets on Transpennine Express TVMs can be filtered by Peak, Off Peak, Super Off Peak and First Class.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: Virgin - Stagecoach

Operator: Virgin Trains East Coast

Franchise: Intercity East Coast[1]

Franchise start and end date: 1 March 2015 - 31 March 2023

Routes operated: Virgin Trains East Coast operates services on the East Coast Main Line between London, Yorkshire, the North East and Scotland

Number of employees: 3,065 employees in 2014-15

Number of operated stations: 12 stations in 2014-15

Volume of services: 20.7m passengers journeys in 2014-15

Financial information for 1-31 March 2015: Made a premium payment to the Government of £17.6m, equivalent to 3.9 pence per passenger kilometre

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[1] VIRGIN TRAINS EAST COAST's franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/488196/intercity-east-coast-franchise.pdf.
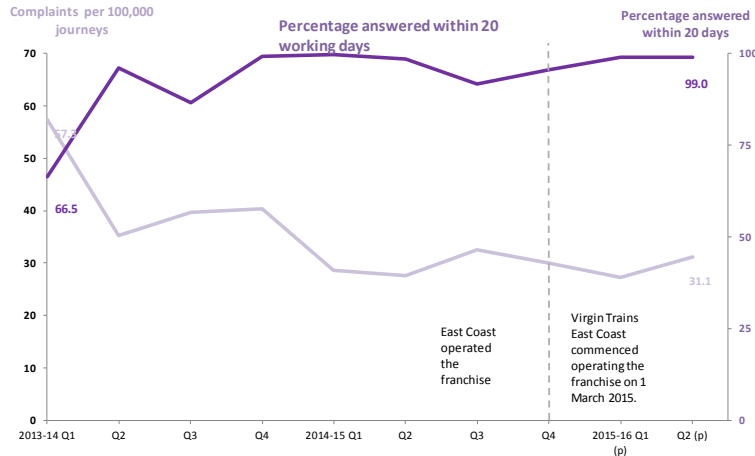
Virgin Trains East Coast

Complaints handling

Virgin Trains East Coast's Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter

In Q1 and Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Virgin Trains East Coast was 27.3 and 31.1 respectively.

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In Q1 and Q2 2015-16 Virgin Trains East Coast responded to 99.0% of complaints in each quarter.

Virgin Trains East Coast has set itself a more challenging response time of 10 working days. In Q1 and Q2 2015-16 it responded to 89.4% and 67.7% of complaints respectively.

Top areas for improvement
(rail period 1-7 2015-16)

1 Facilities on-board
2 Ticket buying facilities
3 Ticketing and refunds policy
4 Upkeep and repair of the train
5 Insufficent seating / standing room

Virgin Trains East Coast reports that around 53% of complaints it receives about on-board facilities come from its first class travellers, with the problems often associated with catering provision. It has recently established a dedicated team tasked with improving the consistency of service in this area.

Access and assistance

Virgin East Coast's Disabled People's Protection Policy (DPPP) is currently being reviewed.

Total volume of assisted journeys booked, by rail period
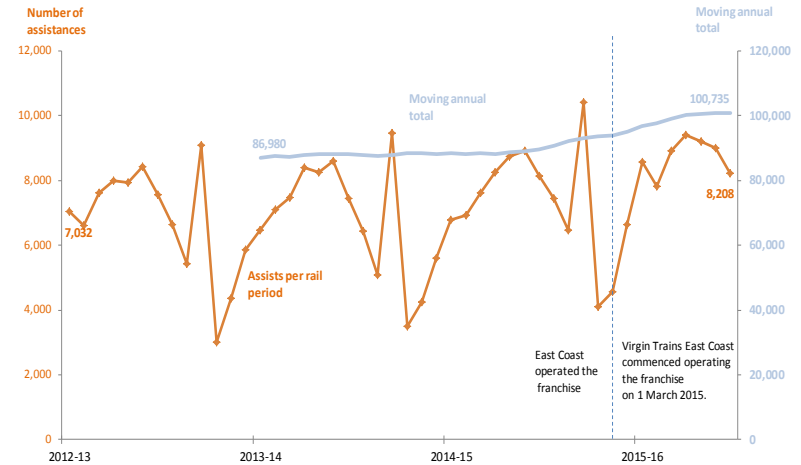
There were 100,735 booked assistances for the past 12 months up to rail period 7 2015-16, up by 12.3% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 1.0% and 1.4% respectively.

In rail periods 1-7 2015-16 114 staff undertook disability training as part of their induction programme. Of these, 66 staff members went on to attend the full disability awareness training course.

Virgin Trains East Coast did not provide data on alternative accessible transport journeys (such as taxis) for disabled passengers for 1-7 rail periods 2015-16. It is currently installing a new recording system and will report on this from April 2016.

Virgin Trains East Coast reports that if booked assistance is not provided at a station, it will refund 100% of the cost of single ticket or 50% of the cost of a return ticket. It also reports that it is working with the RNIB to install 'Maps for All' at its managed stations to improve independent wayfinding within stations and from the station to key points of interest.

Virgin Trains East Coast
Passenger information during disruption

The Virgin Trains East Coast industry action plan is available on-line (here) but difficult to locate on its website. Virgin Trains East Coast has completed on time 32 of the 48 industry actions with two actions completed ahead of the deadline – train operator now provides banners for disruptions on its website and mobile app, and updates passengers every 2 min when service is disrupted. Of the remaining actions, all but one are on track for timely completion (some not due until March 2019).[1]

Virgin Trains East Coast PIDD action plan progress

67% actions completed

33% actions remaining (some not due until 2019)

Key passenger-facing industry actions reported by Virgin Trains East Coast
Where possible, provides estimates about how long the disruption will last (@Virgin_TrainsEC).
Provides reasons for disruption in its messaging to passengers.
Provides alerts about journey disruption to its passengers via email and text message.
Has committed to provide manual announcements during disruption at the stations and on trains (alongside automated ones) by March 2017.
Provides service warnings for passengers during disruption on its website.
Provides announcements within 2 minutes when the train comes to a stop between stations.

Virgin Trains EC
@Virgin_TrainsEC
Follow

#VTECUpdate Disruption caused by a bus hitting a bridge near Leeds has now ended however knock-on delays will continue until at least 10.00

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Virgin Trains East Coast in November 2015 in response to an ORR request for information.

Area	Position reported by Virgin Trains East Coast
Elimination of jargon terms	• TVMs use both "any permitted" and "London Terminals". Its TVMs provide a list of all the valid London stations but "Any permitted" is used without further explanation. • Its full fleet of TVMs will be replaced by 30 June 2017 and have asked the supplier to ensure all such jargon is removed.
Information on product range	• There are restrictions on the tickets/products available from its TVMs, which change by location. It has placed stickers on its machines to advise passengers of these.
Information on ticket restrictions	• Its TVMs display relevant ticket restrictions.
Sale of off-peak fares	• Off Peak tickets go on sale up to 20 minutes before the departure of the last peak train or just after the last peak train has departed, depending on location.
Filtering of fares	• Fares are listed by price (from cheapest to most expensive).

[1]One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Owner group: Virgin and Stagecoach

Operator: Virgin Trains West Coast / West Coast Trains Limited

Franchise: InterCity West Coast[1]

Franchise start and end date: 9 March 1997 - 31 March 2018

Routes operated: Virgin Trains West Coast operates long-distance passenger services on the West Coast Main Line between Greater London, the West Midlands, North West England, North Wales and Scotland

Number of employees: 3,114 employees at the end of 2014-15

Number of operated stations: 17 stations in 2014-15

Volume of services: 34.5m passengers journeys in 2014-15

Financial information: Made premium payment to the Government of £93.7m in 2014-15, equivalent to 1.8 pence per passenger kilometre

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[1] Virgin Trains' franchise agreement is available on the Government website:
https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/485720/Virgin_West_Coast_interim_franchise_agreement.pdf

Virgin Trains West Coast

Complaints handling

> Virgin Trains West Coast's Complaints Handling Procedure (CHP) is currently being reviewed under the 2015 guidance on CHP.

Complaints rate and complaint handling performance, by quarter
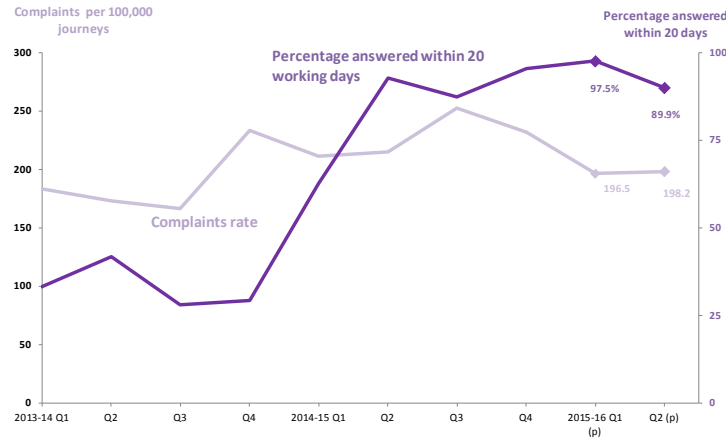
From Q2 2014-15 to Q2 2015-16 the number of complaints per 100,000 passenger journeys received by Virgin Trains West Coast decreased from 214.6 to 198.2 (by 7.6%).

The CHP guidance requires that train operators respond to 95% of complaints within 20 working days. In 2013-14 Virgin Trains West Coast responded to 32.7% of complaints within 20 working days. This increased in 2014-15 to 85.1%. In Q1 and Q2 2015-16 it responded to 97.5% and 89.9% of complaints respectively.

Virgin Trains West Coast has not set itself a more challenging response time target than that set within the 2015 guidance on CHP.

Top areas for improvement (rail period 1-7 2015-16)

1. Quality on train - facilities onboard
2. Tickets on-board policy
3. Tickets and refunds
4. Ticket buying facilities
5. Staff conduct and availability

In the area of ticket buying facilities, Virgin Trains West Coast has reviewed m-ticket complaints, and shared passenger feedback with app developers. The company wants to add clarity during the booking process and to provide better information for its frontline teams so that they are equipped to deal with m-ticket or app booking problems.

Access and assistance

> Virgin West Coast submitted its DPPP for review in November 2015. Following delay by the operator in addressing our comments on the draft, it submitted a revised version in April 2016. The DPPP therefore remains under review at this time.

Number of assisted journeys booked, by rail period
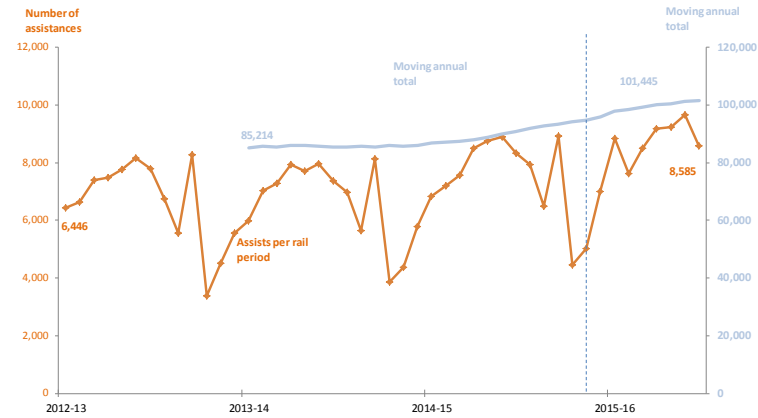
There were 101,445 booked assistances for the past 12 months up to rail period 7 2015-16, up by 11.7% compared to the same time period the year before.

In Q1 and Q2 2015-16 the % of total complaints which concerned accessibility was 0.6% and 0.8% respectively.

In rail periods 1-7 in 2015-16 153 staff received disability awareness training, 16 as part of induction programme for new employees.

In rail periods 1-7 2015-16 Virgin Trains West Coast provided 62 alternative accessible transport journeys (such as taxis) for disabled passengers (an average of 9 bookings per rail period).

> Virgin Trains West Coast has been working with a dementia charity to deliver a pilot dementia training course to its staff. Also, passengers in a wheelchair wishing to reserve a Standard wheelchair space are provided with a complimentary upgrade to First Class (subject to availability) if all Standard spaces have already been booked.

Virgin Trains West Coast

Passenger information during disruption

The Virgin Trains West Coast's industry action plan is available on-line (here). Virgin Trains West Coast has completed on time 32 of the 48 industry actions with two actions completed ahead of the deadline – it offers banners for disruptions on its website and mobile app, and updates passengers every 2 min when service is disrupted. Of the remaining actions, all are expected to be completed on time (some not due until March 2019).[1]

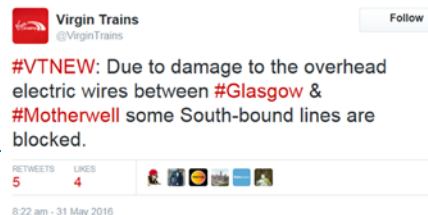**Virgin Trains West Coast PIDD action plan progress**

67% actions **completed**   **33%** actions **remaining** (some not due until 2019)

Key passenger-facing industry actions reported by Virgin Trains West Coast

Does not put delay estimates in its tweets (@VirginTrains). Instead, it often provides links to its journey check page (here) which gives more detailed information including estimates and details of specific trains.

Provides reasons for disruption in its messaging to passengers via Twitter and its website.

Virgin Trains
@VirginTrains   Follow

#VTNEW: Due to damage to the overhead electric wires between #Glasgow & #Motherwell some South-bound lines are blocked.

RETWEETS 5   LIKES 4

8:22 am - 31 May 2016

Provides alerts about journey disruption to its passengers via email and text message.

Has committed to provide manual announcements during disruption at the stations and on trains (alongside automated ones) by March 2017.

Provides service warnings for passengers during disruption on its website and app.

Provides announcements within 2 minutes when the train comes to a stop between stations.

Virgin Trains West Coast has also upgraded the display board at its London Euston station to show coach information for each train including reservation level, arrival times for all stops and estimated time of boarding (see here).

Improving the passenger experience at Ticket Vending Machines (TVMs)

The table below shows the information provided by Virgin Trains West Coast in November 2015 in response to an ORR request for information.

Area	Position reported by Virgin Trains West Coast
Elimination of jargon terms	• TVMs do use jargon in some places, such as industry route names, and abbreviated station and train company names, where a way of simplifying or clarifying has not been found possible within the constraints of industry systems.
Information on product range	• The range of tickets/products sold at its TVMs is limited and that all of its 185 TVMS have been labelled with stickers that advise passengers of this and what they should do if they need help. • It uses stickers as these are always viewable by passengers, regardless of what step of the ticket purchase process they are at.
Information on ticket restrictions	• TVMs provide information about key restrictions that apply to tickets, such as the time at which they are valid or the TOC or route on which they may be used.
Sale of off-peak fares	• TVMs allow the sale of Off-Peak tickets after the scheduled departure of the last Peak service at the station concerned.
Filtering of fares	• Fares are typically ranked by "Any permitted" route or Virgin Trains West Coast Only (depending on location and service frequency), and then fares on services provided by other train operators.

[1] One industry action which involves making changes to industry systems has been put on hold for all train operators due to funding issues.

Part 4 - Network Rail

Network Rail licence obligations

149. The national rail network (track and related infrastructure, including 18 main line stations) is owned and operated by Network Rail. Network Rail is regulated by us under both a network and station licence. The company owns and operates 18 of Britain's largest and busiest stations - including 10 stations in London - and it is this fundamental passenger facing role that is the key area of focus for this report.

150. The key passenger facing obligations that apply to Network Rail fall within its station licence[35] and therefore relate only to its managed stations. These obligations impose the requirements on Network Rail to:

- provide information to passengers during service disruption (condition 3 of Network Rail's station licence). Network Rail is required to provide appropriate, accurate and timely information to enable passengers to plan and make their journeys, including when there is train service disruption;

- establish and comply with a Disabled People's Protection Policy (DPPP) which sets out how Network Rail will protect the interests of disabled users of its managed stations. Network Rail's DPPP must be approved and monitored by ORR (condition 4 of Network Rail's station licence); and

- establish and comply with a procedure for handling complaints relating to licensed activities from customers (condition 5 of Network Rail's station licence), i.e. the Complaints Handling Procedure (CHP). This must be approved and monitored by ORR.

151. In addition, we monitor whether Network Rail's DPPP and CHP arrangements are being delivered in practice by focusing on the outcomes that are being achieved. As part of this, we look at a core data set of measures that Network Rail reports against.

Information for passengers

152. The Network Rail guidance note for the provision of information during disruption (PIDD) applies to its control, response and station staff. This is published on the Network Rail website.[36]

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[35] Available at: https://www.networkrail.co.uk/delay-information/guidance-note-information-during-disruption.pdf?cd=1.

[36] Available at: https://www.networkrail.co.uk/delay-information/guidance-note-information-during-disruption.pdf?cd=1.

153. While many of the industry actions to improve the provision of passenger information during disruption are to be delivered by train operators, a number are specifically related to Network Rail. Actions being delivered by Network Rail include:

■ making manual announcements at its stations during disruption;

■ removing an apology message where repeated automated announcements are broadcast;

■ providing additional coaching for staff who produce the prioritised plans (explained below);

■ reporting on the number of prioritised plans that have been produced;

■ publication of Network Rail document Guidance note for control, response and station staff: information during disruption on its website;37

■ holding periodic cross industry reviews of local plans; and

■ ensuring that customers have access to the full details of their journey when there are engineering works.

154. To date, the majority of the required actions have been delivered on time. One action (providing additional coaching to staff who produce the prioritised plans) has been delayed as Network Rail has taken the decision to tie this in with a wider controller competency framework. This is due to commence in summer 2016. The final two actions are due in 2016 and 2017. Network Rail reported that it will be able to make manual announcements at its stations during disruption by March 2017. Regarding passenger information, Network Rail will ensure that systems can provide information about services that are changed by engineering works later in 2016.

155. During significant disruption it is normally appropriate for Network Rail route control to produce a Prioritised Plan. This plan takes information from the staff on site and develops milestones which can be used to help estimate the duration of the incident. During 2015 Network Rail introduced a prioritised plan template to its control room software and this is now used by some of the routes.

156. The number of incidents for which Prioritised Plans were produced varies considerably across the Network Rail routes. From the beginning of April 2015 to the end of December 2015, Anglia route[38] recorded 430 incidents whereas East Midlands route[39] recorded 55.

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[37] May be downloaded from https://www.networkrail.co.uk/delay-information/guidance-note-information-during-disruption.pdf?cd=1.

[38] The Anglia route covers five main corridors through and across Greater London, Essex, Cambridgeshire, Suffolk and Norfolk. These are the Great Eastern Main Line from Liverpool Street to Norwich and branches; the cross country corridor via Ely from Ipswich/Norwich to Cambridge/Peterborough; the West Anglia Main Line from Liverpool Street to Cambridge, Kings Lynn and branches; the Orbital Routes, comprising the North

157. Figure 4 below shows the percentage of incidents for which Prioritised Plans were produced by Network Rail on its operating routes. There are some differences in the percentage of Prioritised Plans produced. In April – December 2015 in Scotland there were 92% of Prioritised Plans in place while on the London North East route there were 71%.

158. These differences may be attributable to differing thresholds amongst train companies for declaring Customer Service Level 2 (CSL2)[40] incidents, the number of train companies operating on route, local agreements regarding the production of the plans and the route geography.

Figure 4 - Percentage of incidents for which Prioritised Plans were produced, by Network Rail route

Source: Network Rail
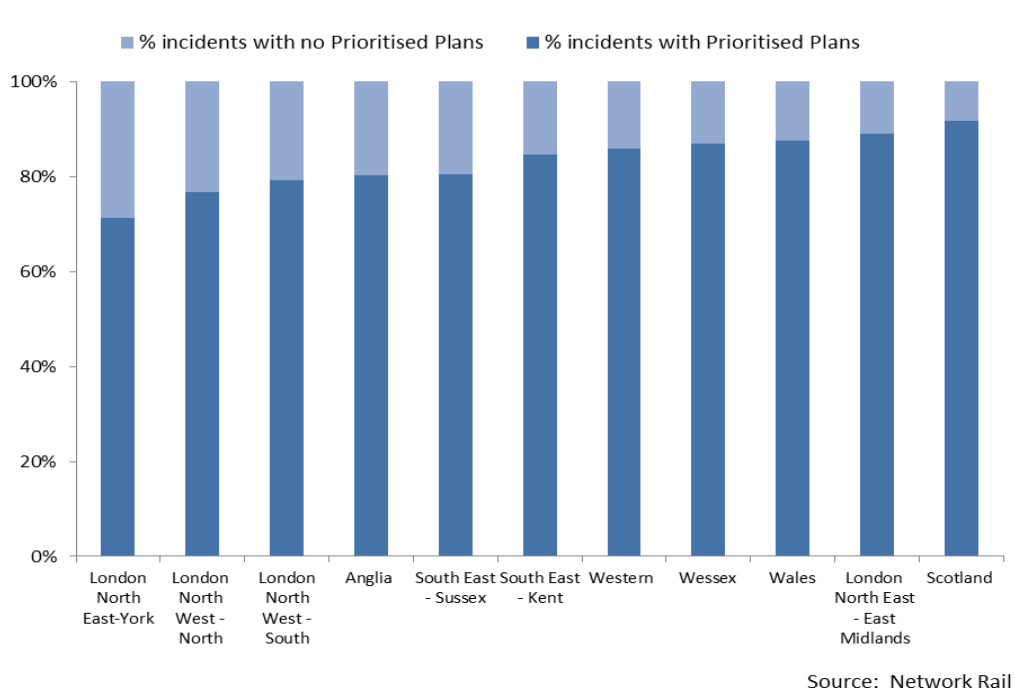
Access and travel assistance for disabled passengers

159. Network Rail submitted its draft DPPP to us on 26 February 2016. We provided comments on the draft and Network Rail submitted a revised draft on 29 April 2016.


London Line from Stratford to Richmond and the Barking to Gospel Oak line; and the Essex Thameside line from Fenchurch Street to Shoeburyness via Upminster and Tilbury.

[39] The East Midlands route covers London St Pancras International to the East Midlands and South Yorkshire; between Bedford, Luton, St Albans and central London; between the West Midlands and East Anglia via Leicester and Peterborough; from Liverpool to Norwich via Manchester, Sheffield and Nottingham; and local services within the East Midlands.

[40] This is an industry recognised status which means train operators and Network Rail are committed to working even more closely together to provide useful customer information and a speedy restoration to the normal timetable.

160. We are working with Network Rail to establish stronger reporting mechanisms to demonstrate that it is complying with its obligations under DPPP. In the future we will be looking to collect further information from them about their operations and performance in this area, such as details of disability and equality awareness training undertaken by Network Rail staff. Providing this data is an important way in which Network Rail can demonstrate its performance towards meeting its DPPP obligations.

161. Although passengers book assistance via the train operator, Network Rail is responsible for providing this assistance at its managed stations. Data received from ATOC (Figure 5 below) shows there were 327,009 booked assistances carried out by Network Rail staff in the 12 months to Period 7 2015-16. This is an increase of 12.2% compared to the same period in the previous year.

162. The data further shows that each year the demand for travel assistance is greater around Christmas time, with a sharp fall in January and February. The volume of assisted journeys booked increases from March onwards and throughout the summer due to school holidays and warmer weather.

Figure 5 - Total volume of assisted journeys booked at Network Rail stations, by rail period
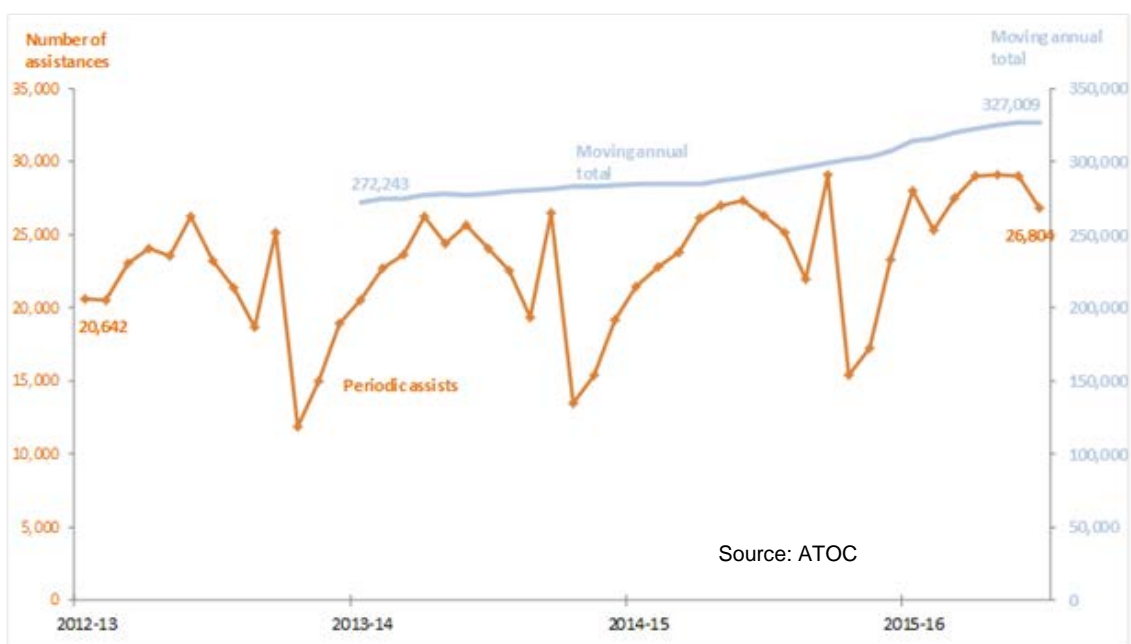
163. The following areas of good practice have been identified in Network Rail's DPPP:

■ a Built Environment Accessibility Panel (BEAP) that provides both technical and experiential advice on the design and management of Network Rail built environment proposals and plans;

■ regular 'Meet the Manager' events so that customers can meet station managers and other senior members of staff in order to give feedback and ask

questions. At these events Network Rail provides a British Sign Language interpreter in order to ensure that customers with hearing impairments can also take part; and

■ at Network Rail managed stations, disabled passengers will always receive requested assistance with their luggage, even when this service has not been booked in advance.
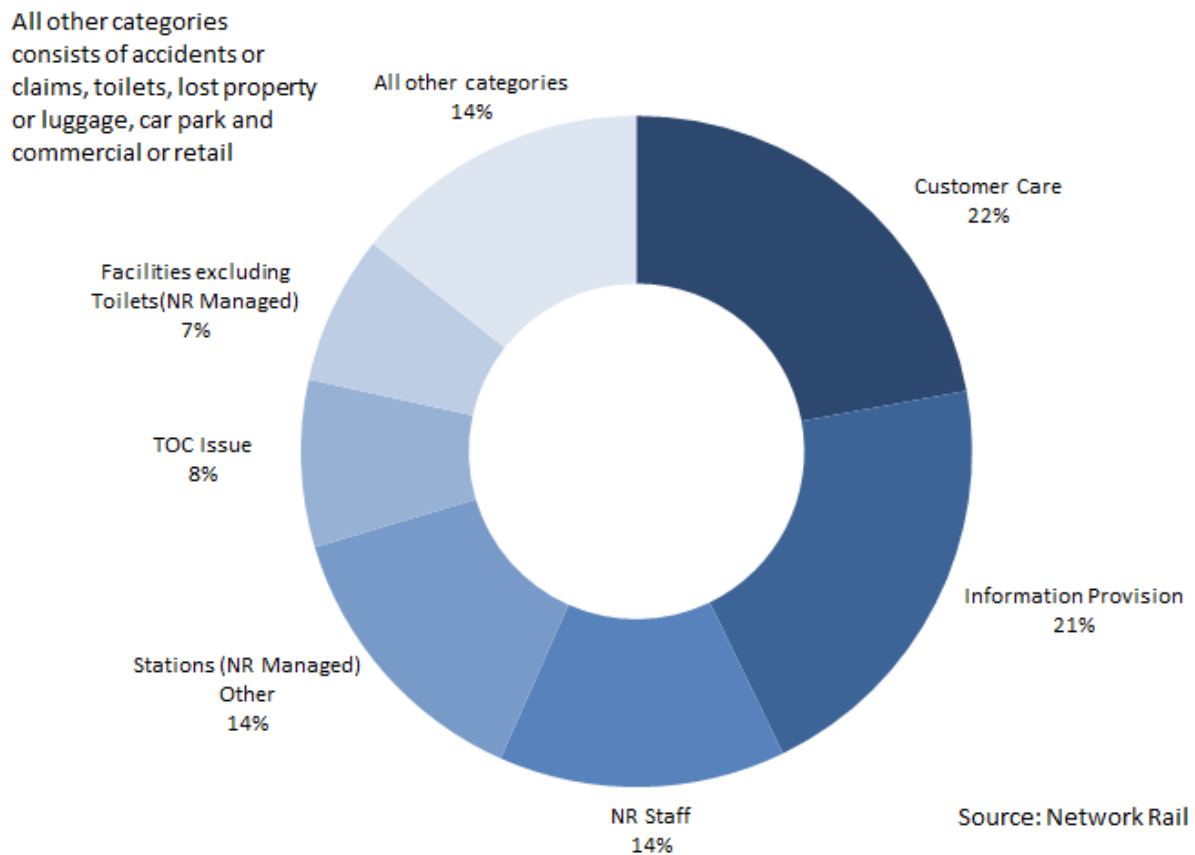
Complaints handling

164. Network Rail submitted its draft CHP (in accordance with the new guidance) to us on 15 January 2016. Following feedback from us and the passenger bodies, it submitted a revised draft in April 2016. We expect to finalise this shortly.

165. In rail periods 1-7, 2015-16, Network Rail received 8,283 complaints. Of these 1,280 related to Network Rail managed stations. This accounted for 15% of the total complaints received by Network Rail. The other 85% of complaints Network Rail receives relate to areas of their operations outside of their managed stations. This includes complaints about things like lineside maintenance, vegetation, fly tipping, *etc.*, which can affect those who live alongside tracks.

166. In terms of managed stations, the largest complaints category related to customer care, which accounted for 22% of the total complaints relating to Network Rail managed stations, followed by complaints on the provision of information (21%). Complaints about Network Rail staff and other complaints each accounted for 14% of the total station complaints (Figure 6 below).

Figure - 6 Percentage of Network Rail station complaints by category

All other categories consists of accidents or claims, toilets, lost property or luggage, car park and commercial or retail

All other categories 14%

Customer Care 22%

Information Provision 21%

NR Staff 14%

Stations (NR Managed) Other 14%

TOC Issue 8%

Facilities excluding Toilets(NR Managed) 7%

Source: Network Rail

167. As part of our core data monitoring we ask licence holders to identify areas with high complaint volumes, where adjustments can be made to improve the passenger experience. Network Rail's work on continuous improvement focuses on areas which receive the most complaints. In rail periods 1-7 of 2015-16 this related to the upgrade and maintenance work being carried out across the network. Network Rail has taken a number of steps to address this. For example it reported that it aims to notify people in advance of the works. Continuing progress on these measures is expected to be made during year 2016-17.

168. Licence holders are required to respond to 95% of complaints related to stations within 20 working days. During rail periods 1-7, 2015-16, Network Rail's response rate to station complaints fluctuated between 81.8% and 90.6% within 20 working days. While Network Rail has not achieved the target requirement of responding to 95% of complaints within 20 working days it has told us that during the course of 2015-16 it reduced the average time to respond to all customer contacts (including station complaints) by 55.2%. Network Rail has set a target of resolving all contacts (including station complaints) within 20 working days by March 2017 and we will continue to monitor Network Rail's performance.

Engineering work overruns during Christmas 2014

169. On 27 and 28 December 2014, passengers travelling through London's King's Cross and Paddington stations were severely disrupted as a result of overrunning engineering works.[41] This affected some 115,000 passengers travelling with a number of train operators. When King's Cross station unexpectedly closed, many East Coast mainline passengers were forced to queue outside Finsbury Park station as they waited for their train. Great Western Railway services were unable to run to and from London Paddington, causing disruption to services and overcrowding on alternative routes. Information systems struggled to keep up with the volume of alterations meaning that passengers were not well informed about their alternatives.

170. In early January 2015, Network Rail published a report identifying the issues which it considered caused this passenger disruption and the recommendations that it would implement in order to address these issues. [42]

171. Our investigation put forward a number of recommendations which Network Rail delivered throughout the course of 2015.[43]

172. The recommendations from both the Network Rail and ORR reports were wide ranging. Those related specifically to the provision of information to passengers during disruption included, amongst others:

- developing a station disruption app for Network Rail's managed stations;

- use of 'Transvision' screens during major disruption at Network Rail managed stations;

- formalising the arrangements for additional staff and volunteers at Network Rail managed stations during periods of major engineering work; and

- producing a customer information plan for each Network Rail managed station and getting it agreed by the rail operators that serve the station.

173. Network Rail delivered on the recommendations before the Christmas 2015 engineering work. We monitored Network Rail's delivery by:

- reviewing evidence provided by Network Rail on a monthly basis which showed the delivery status of key indicators;

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[41] More information is available here:http://orr.gov.uk/publications/reports/december-2014-engineering-overruns-investigation.

[42] Network Rail, A review into the causes of passenger disruption affecting King's Cross and Paddington station services on 27 December 2014, (published 2015). Available at: https://www.networkrail.co.uk/news/2015/jan/christmas-passenger-disruption-investigation-report-published/?cd=1.

[43] More information is available here: http://orr.gov.uk/news-and-media/news-and-announcements/2015/orr-investigation-finds-network-rail-in-breach-of-licence-in-2014-15.

- convening regular meetings with the Network Rail managed stations team; and

- reviewing its customer information plans.

174. The extra focus on delivery and changes implemented following the 2014 overruns contributed to Network Rail successfully delivering its work programmes during the bank holidays throughout 2015.

Annexes

Annex 1 - Glossary

Association of Train Operating Companies (ATOC) - The Association of Train Operating Companies (ATOC) is an incorporated association owned by its members. It was set up by the train operating companies during privatisation of the railways under the Railways Act 1993. As well as being the official voice of the passenger train operators, it also provides its members with a range of services that enables them to comply with the conditions set out in their franchise agreements and operating licences. These include the National Rail Enquiry Service (NRES) and Railcard marketing. ATOC's principal activities include assisting members to co-operate on developing and managing projects that benefit passengers and to promote the advantages of the rail network.

Complaints Handling Procedure (CHP) -Train and station operators are required by their operating licences to establish and comply with a procedure for handling complaints relating to licensed activities from customers and potential customers. This procedure is known as the 'complaints handling procedure' (CHP). The CHP is approved and monitored by ORR.

Concession - an agreement to supply rail services between government or a local authority and a train operator. The main difference from a franchise is that the operator is paid a fee to run the service rather than relying on revenue from passengers or subsidy. Revenue raised is typically passed back to the public body that appointed the concession.

Consumer Law - Protection in place to ensure the rights of consumers as well as fair trade, competition and accurate information in the marketplace.

Competition and Markets Authority (CMA) - The CMA is an independent non-ministerial department that promotes competition for the benefit of consumers, both within and outside the UK.

Consumer Protection Regulations (CPR) - Protects consumers from unfair or misleading trading practices and bans misleading omissions and aggressive sales tactics.

Disabled People's Protection Policy (DPPP) - Train and station operators are required by their operating licences to establish and comply with a Disabled People's Protection Policy (DPPP), approved by ORR. A DPPP sets out, amongst other things, the arrangements and assistance that an operator will provide to protect the interests of disabled people using its services and to facilitate such use.

Disabled Person's Transport Advisory Committee (DPTAC) - Advises the government on transport legislation, regulations and guidance concerning the transport needs of disabled people, and works to ensure disabled people have the same access to transport as everyone else.

Enterprise Act 2002 - An Act of the Parliament of the United Kingdom which made major changes to UK competition law with respect to mergers and also changed the law governing insolvency bankruptcy.

Franchise - under rail franchising, GB rail services are contracted out to private companies.

London Overground Rail Operations Limited (LOROL) - The train operating company responsible for running the London Overground network under a Concession Agreement with Transport for London (TfL). LOROL is a joint venture company between MTR Corporation and Deutsche Bahn.

London TravelWatch - The independent, statutory body for transport users in and around London. It is funded by the London Assembly and investigate complaints from people unhappy with the response they have received from their transport provider.

Network Rail (NR) – Network Rail is responsible for running, maintaining and developing Britain's rail tracks, signalling, bridges, tunnels, level crossings and many of the largest stations.

National Rail Enquiries - The source of customer information for all passenger rail services on the National Rail network in England, Wales and Scotland. NRE is part of ATOC, which is responsible for providing business services to the train operating companies. The National Rail Enquiries website, run by ATOC, includes a real-time journey planner, fares and live departure information.

National Task Force (NTF) - Is the body through which the industry cooperates to improve performance. It brings together passenger and freight operators, Network Rail, the Office of Rail and Road and the Department for Transport. It has set three overarching national themes for attention: better timetables; better operations; and better assets.

Open Access Operator - Open access passenger train operators are those who operate services purely on a commercial basis, i.e. not under either a franchise or a concession agreement. These are companies who identify an opportunity to run a service that was not being provided. Open access passenger operators include Hull Trains and Grand Central.

Passenger Information During Disruption (PIDD) – In 2012, ORR introduced a new condition on the provision of information for passengers into train operator and

station licences. The purpose was to ensure that passengers receive appropriate, accurate and timely information about train services so they can plan and make journeys with a reasonable degree of assurance. ATOC subsequently published a code of practice and operators published their own local plans to show how they would comply with this. To ensure the code is delivering benefits for passengers we have worked with stakeholders to develop a list of improvement actions to ensure passengers get the information they need when services are disrupted, at the right time, and through appropriate channels.

Product Management System (PMS) - The system (owned by RDG) provides fares and timetable information for use by ticket machines and information services. It enables rail product and timetable data, together with its associated reference data to be stored, maintained and distributed.

Rail Delivery Group (RDG) - The Rail Delivery Group (RDG) was set up in 2011 and brings together Network Rail and the passenger and freight train operating companies to lead and enable improvements in the railway.

Rail Period - The rail industry reports data on a periodic basis different to the widely recognised reporting cycles such as monthly or quarterly. A 'period' is normally 28 days, or four weeks, for business reporting purposes (Sunday to Saturday) and there are 13 periods in a financial year. The length of a period may differ at the end of the financial year, 31 March, and the beginning of the financial year, 1 April, to ensure that a break is made at 31 March.

Railway Undertaking (RU) – In the context of licensing, this is any private or public body the principal business of which is to provide rail transport services for goods and/or passengers, with a requirement that it must ensure traction.

Statement of National Regulatory Provisions (SNRP) – The Railway (Licensing of Railway Undertakings) Regulations 2005 require most people who want to operate trains in Great Britain (GB) to hold an appropriate European licence. A European licence holder operating in GB must also have and comply with a Statement of National Regulatory Provisions (SNRP).

Transport Focus – Transport Focus (previously Passenger Focus) is the independent transport user representative body. It is structured as an executive non-departmental public body, sponsored by the DfT. Its mission is to get the best deal for passengers and road users.

Transport for London (TfL) – TfL is the local government organisation responsible for most aspects of London's transport system.

Ticket Vending Machine (TVM) – A machine that dispenses train tickets at railway stations, transit tickets at metro stations, and tram tickets at some tram stops and in

some trams. The typical transaction consists of using the display interface to select the type and quantity of tickets and then choosing a payment method of cash, credit/debit card or smartcard. The ticket or tickets are printed and dispensed to the user.

Annex 2 – Regulatory guidance provided by ORR

Obligation / requirement	Regulatory guidance or support	Link
Complaints Handling Procedures (CHPs)	The guidance is aimed at ensuring that train and station operators use the insight from passenger complaints to tackle the root causes of dissatisfaction and continuously improve the passenger experience.	http://orr.gov.uk/what-and-how-we-regulate/licensing/licensing-railway-operators/licence-obligations/complaints-handling-procedures
Disabled People's Protection Policy (DPPP)	The guidance ensures that train operators develop standards of service provision, as well as relevant policies and practices, with regard to disabled people using the rail network.	http://orr.gov.uk/what-and-how-we-regulate/licensing/licensing-railway-operators/licence-obligations/disabled-peoples-protection-policy
Provision of Core Data to demonstrate performance in the area of CHP and DPPPs	The Core Data update and forward workplan sets out what should be contained in a Core Data set for Complaints Handling Procedures (CHP) and Disabled People's Protection Policies (DPPP) compliance monitoring. It also sets out the process agreed with industry for implementing it.	http://orr.gov.uk/consultations/closed-consultations/policy-consultations/policy-consultations-2011-2014/developing-minimum-core-data-for-monitoring-operators-chp-and-dppp-performance
Passenger information	The passenger information regulatory statement provides guidance to train, station and infrastructure managers (e.g. Network Rail) on the context, obligations, compliance and enforcement criteria relating to the passenger information licence condition.	http://orr.gov.uk/__data/assets/pdf_file/0015/4353/passenger-information-regulatory-statement.pdf
Consumer law	The Code of Practice on Retail Information provides guidance for train operating companies and third party retailers on, and promotes best practice in, meeting consumer law and industry standards associated	http://orr.gov.uk/what-and-how-we-regulate/consumers/consumer-policy/code-of-practice-on-retail-information-consultation-on-developing-a-code

Obligation / requirement	Regulatory guidance or support	Link
	with the provision of information to passengers in connection with the sale and use of tickets and services.	
Consumer law	The regulatory statement sets out the approach we will take in exercising our consumer law enforcement role with regard to services relating to the railways.	http://orr.gov.uk/__data/assets/pdf_file/0017/5552/guidance_on_our_consumer_law_role_310310.pdf

Annex 3 - Core data indicators

Train and station operators are required by their operating licences to establish and comply with policies on Complaints Handling and Disabled People's Protection. These must be approved by ORR which has established written guidance setting out in detail what these policies should contain. The subsequent data that licensees provide to us helps to demonstrate their compliance in these areas and is outlined below.

CHP Indicator	Regulatory obligation	Comments
Total number of complaints received	CHP Guidance - section 4.1, ORR's monitoring approach.	Data is collected on a periodic basis and published on the ORR Data Portal.[44]
Percentage of complaints responded to within specified targets	CHP Guidance - section on response times, para 3.31 and 3.32.	Data is collected on a periodic basis and published on the ORR Data Portal.
Total number of complaints received by complaint category	CHP Guidance - section 4.1, ORR's monitoring approach.	Data is collected on a periodic basis and published on the ORR Data Portal.
Complaints about complaint handling process	CHP Guidance - section on quality assurance, para 3.62.	Data is collected on a periodic basis and published on the ORR Data Portal.
Customer satisfaction with the complaints handling process	CHP Guidance - section on quality assurance, para 3.62.	This data is collected via a passenger survey commissioned by ORR. The first data is due to be published in December 2016.
Satisfaction with complaint outcome	CHP Guidance - section on quality assurance, para	This data is collected via the same survey noted above with the same publication

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[44] Link to the ORR Data Portal https://dataportal.orr.gov.uk/

CHP Indicator	Regulatory obligation	Comments
	3.62.	date.
Frivolous and vexatious complaint volumes	CHP Guidance section on dealing with frivolous and vexatious complaints, paras 3.43 - 3.45.	We collected this data for the reporting year 2015-16 but have dropped this for 2016-17 because of the small number of cases train operators were reporting.
Continuous improvement in complaint handling	CHP Guidance - paras 1.7 and 1.8 regarding continuous improvement. Requires evidence of a good complaints handling procedure that leads to continuous improvement, so that in the medium term the root causes of complaints are addressed and systemic solutions are put in place.	This data is collected on a one-off annual basis by us and reported in this report.
Complaint appeals	CHP Guidance - para 3.41,'passenger should be signposted to TF or LTW and ADR after they have received the second substantive response from the licence holder, even if the licence holder continues to engage with the complainant with the objective of resolving the complaint itself.'	This data started being collected by licensees from 1st April 2016 and will be published on the ORR Data Portal.

DPPP Indicator	Regulatory obligation	Comments
Disabled Person Railcard journey data	Ensures train operators are fulfilling their obligations to DPRC card holders as per DPPP Guidance (e.g. Section C).	We retrieve this data from the LENNON database and publishes it on the Data Portal.
Staff who have received relevant disability awareness training or disability equality training	DPPP Guidance - Para. D6 on staff training.	This data is collected on a one-off annual basis by us and reported in this report.
Assisted journeys	DPPP Guidance - Para. C2 'assistance for passengers'	We have been receiving data on the number of requests (bookings) made for assisted travel received by each train operator within each rail period since September 2015 via ATOC. We now publish this information on our Data Portal. We are continuing to engage with industry (and its representatives) to make improvements to the quantity and quality of monitoring in this area e.g. to provide data on the number of pre-booked assistances completed and; the volume of turn-up-and-go assistance provided by each train operator.
Number of complaints where there was a	CHP Guidance - section 4.1, ORR's monitoring	Data is collected on a periodic basis and

DPPP Indicator	Regulatory obligation	Comments
service problem relating to a passenger's disability	approach.	published on the ORR Data Portal.
Passenger Assist satisfaction data	DPPP Guidance - Para. D3 'monitoring and evaluation of performance in delivering services and facilities to disabled passengers'.	Data unavailable at this time. We are currently engaged in discussion with ATOC about how best to gather this information.
Alternative accessible transport	DPPP Guidance - Para. C3 requirements around the provision of Alternative Accessible Transport.	This data is collected on a one-off annual basis by us and reported in this report.