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24 September 2018

Kevin Thomas
Managing Director
Keolis Amey Operations/Gweithrediadau Keolis Amey Limited

(By email)

Dear Kevin,

Approval of Keolis Amey Operations/Gweithrediadau Keolis Amey Limited's (trading as Transport for Wales Rail Services) Complaints Handling Procedure (Condition 6 of the Station Licence and GB Statement of National Regulatory Conditions: Passenger)

Thank you for submitting your draft Complaints Handling Procedure (CHP) for approval. A copy of your revised CHP is attached to this letter, and will be published on our website along with a copy of this letter.

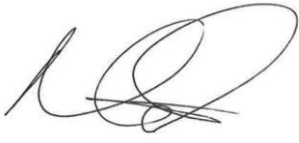
I confirm that we have reviewed your CHP against the 2015 "*Guidance on complaints handling procedures for licence holders*" (the guidance), and can confirm that your revised CHP meets the requirements of Condition 6 of your station licence and GB Statement of National Regulatory Conditions: Passenger (SNRP). We also sought views on your draft CHP from Transport Focus.

Since your CHP was originally submitted to ORR we have had several exchanges in the intervening period in order to bring about the changes required to make it compliant with the Guidance. As part of those exchanges you confirmed that Transport for Wales Rail Services will comply with the Alternative Dispute Resolution for Consumer Disputes (Competent Authorities and Information) Regulations 2015.

You also stated that you intend on registering with the Dispute Resolution Ombudsman, the ADR body procured by the Rail Delivery Group.

As you are aware, we are currently consulting on modifying licence condition 6 to make membership of the ADR scheme in the rail sector a mandatory requirement. We expect to publish our decision, and if appropriate, proceed with the statutory licence modification process. We will confirm thereafter the timetable for making requisite changes to Complaints Handling Procedures.

Yours sincerely,

A handwritten signature in black ink, appearing to be 'MC', with a large loop and a horizontal stroke at the bottom.

Marcus Clements



Transport for Wales Rail Services

Complaints Handling Procedure - DRAFT

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1 Introduction

We are delighted to transform rail travel across the Wales and Borders network and create a step change in customer experience over the 15-year contract. However, we recognise that sometimes things may go wrong, and we want to ensure you can easily let us know when you are not satisfied with the service we have provided so that we can improve our service.

We define a complaint as “any expression of dissatisfaction by a customer or potential customer about service delivery or company or industry policy”.

The procedure is subject to approval by the Office of Rail and Road (ORR) in accordance with Section 6 of our GB Passenger SNRP and Station Licence. In accordance with this licence condition, we will consult with Transport Focus annually on the procedure and any amendments made subsequently.

All customer feedback is constructive and should be used to maintain and, wherever possible, improve the service and products offered. We will ensure that the process for contacting us is easily accessible, well publicised and easy to use.

Confidentiality

We will respect confidentiality in line with data protection legislation, including the Data Protection Act and General Data Protection Regulation (GDPR). For full details please see our Privacy Policy on our website: tfwrail.wales/privacy-policy.

However, we want to ensure that we handle every complaint in a timely manner so if you contact us but your complaint relates to the goods or services of another train operating company, then we will send your complaint on to them in a timely manner. We will let you know when we send it on and provide you with contact details for the train operator concerned.

We may divulge your personal data to a third party without consent where we have a statutory duty to do so (e.g. to assist the police) or to assist our Debt Recovery unit.

In accordance with our policy, our responsibilities as an employer and data protection legislation, any action taken against an employee as a result of an investigation will remain confidential.

2 The service

We run trains and stations across the Wales and Borders network. We will also be investing to create the South Wales Metro; a £738 million scheme to transform rail travel across South East Wales. More details can be found on our website.

3 Information Accessible to All

We employ a team of dedicated Customer Relations staff, based in Cardiff, specifically for the purposes of receiving, investigating and responding to comments, complaints and suggestions.

We are committed to providing information in both Welsh and English. We operate a bilingual service across the following channels:

- Responses to letters, emails, compensation claim and comments forms (excluding replies via third party sales channels)



- Telephone calls to our Customer Relations department
- Timetable information – via National Rail Enquiries Welsh Language Service (NRE)
- Twitter feed and replies to tweets posted on the TfW Rail Twitter

If a member of customer-facing staff speaks Welsh, they will be able to deal with enquiries in Welsh. If this is not possible please use the methods outlined below to contact us.

We will make provision for you if your first language is not Welsh or English and reply in the appropriate language.

We are committed to meet the needs of older and disabled passengers. We aim to ensure that carers, support workers and guardians are able to act on behalf of a passenger with the passenger's permission/authority. For more details on how we do this please see our Disabled People's Protection Policy.

If you would like this document in an alternative accessible format (such as Braille, large print or audio) please get in touch with us. Our contact details are at Section 11 of this leaflet.

Customers who are deaf, hearing and/or speech impaired can access our Customer Relations and Assisted Travel telephone helplines by Next Generation Text.

Our website (including the 'contact us' webform) is designed to be accessible as possible. Please let us know if you experience any difficulties or access barriers.

4. How to make a complaint

So that we can resolve matters swiftly when you contact us please provide where possible the information below including:

- Date and time of travel
- Stations you travelled to and from
- A copy of your ticket
- The key facts about the matter

In person

We would like to address complaints swiftly so encourage you to speak to a staff in the first instance to raise questions. We empower staff to resolve complaints through our "Think like a Customer" training. However, if you are unhappy with the response or they are unable to resolve the issue, staff can provide you with the contact details for Customer Relations.

By telephone -03333 211202

The team is available from 0800 until 2000 Mondays to Saturdays, and from 1100 until 2000 Sundays. The office is closed Christmas Day (25 December).

Customers are advised to call NRE out of hours and that information is available on the website.

Calls to the 03 number are charged at a local rate when called from a landline or mobile phone.



By customer comments/complaints form

Our comments/complaints forms are available on request from our ticket offices and responses sent to the Freepost address on the back of the forms. Customers on train will be directed to the website and station ticket office staff to ask for a comment form.

By website

We have created a dedicated 'contact' page on our website, available in English and Welsh. This contact page will help you make a complaint, claim compensation for a delay, provide feedback or ask a question and guides you through the relevant steps.

Social Media

Twitter

@TfW_Rail

We operate a live Twitter service between:

07 00 - 20 00 Monday to Friday

08 00 - 20 00 on Saturdays

11 00 - 20 00 on Sundays

Our Twitter service aims to keep our followers up to date with key service information and assist customers with their immediate travel plans. We do not use Twitter as a forum for making formal complaints, but we do monitor feedback received via this method as a way to drive continuous improvement. If you do make a complaint via Twitter, you will be directed to the contact page on our website where you can make a formal complaint.

Facebook and Instagram

Using Facebook and Instagram is a great way for us to tell you about latest offers and updates. However, it is not used for live customer service interaction. If you provide us with feedback on Facebook or Instagram and require a response, we ask that you contact us via one of our other contact channels.

5. Response

Normal response

We will answer 95% of comments and complaints within 20 working days and set a target of 90% to be answered in 10 working days.

- If you telephone us, we aim to address your complaint over the telephone. If this is not possible we will give you a unique reference number and call you back within 3 working days. If further investigation is required, a full reply will be provided in 20 working days but we aim for 10 working days
- If you provide an email address in your correspondence we will acknowledge receipt (and provide a unique reference number) within 48 hours (Monday to Friday)
- For complaints receiving by post, webform or email, we will provide a holding reply within 5 working days if a detailed investigation is required. In that case, a full reply will be provided in 20 working days but we aim for 10 working days

These response times are provided on our website.

We will make reasonable endeavors to ensure we meet our response times even when there is an unexpected increase in the volume of complaints received. However, if there are



exceptional circumstances (such as a period of major disruption or a sudden or unexpected increase in the volume of complaints) we may increase our normal response times. We will work closely with Transport Focus if our response times are extended. We will also ensure we advise the ORR when we anticipate an increase to response rates and the steps we are taking to return to compliance. We will notify customers via our website and direct correspondence if this is the case, whilst making every effort to respond to you as soon as we can.

We will provide a response to complaints that is

- easy to understand
- consistent in approach
- make use of the feedback from customers to improve the service offered

When we have provided a full response and have no outstanding actions to perform we will consider a complaint resolved unless we hear from you that you are dissatisfied.

Escalation of Response

Some complaints require immediate escalation for a first response when the content of the complaint contains:

- Details of personal injury or allegations of a safety breach
- Allegations of serious or illegal misconduct
- Matters relating to accessibility or disabled assistance
- Where there is a serious risk to the reputation of the company Matter relating to our Revenue Protection Policy and prosecution

In the above circumstances, your complaint will be dealt with by a senior member of the Customer Relations team. All staff are trained to assess and act accordingly when a complaint needs to be escalated within the organisation.

If you are dissatisfied

Where you are dissatisfied with our full response, we will:

- Review your reasons for this and conduct further investigations if necessary
- Escalate the matter to a more senior member of the team (if appropriate)
- Provide a second full response, along with the contact details for Transport Focus and explain their role as an independent transport watchdog

In the case of appeals involving Transport Focus, we will respond to them within 10 working days (up to 20 working days if the matter is complex).

Frivolous and Vexatious complaints

We'll always do our best to bring customer complaints to a full conclusion. However, there may be occasions where we decide that we need to terminate contact with a customer regarding a particular complaint or decide that we will not respond to the specific points raised in the initial complaint. If our Customer Relations team believes that a complaint is frivolous or vexatious they will highlight it to the Head of Customer Experience or Customer Relations Manager who will decide the outcome.

The decision to categorise a complaint as frivolous or vexatious will only be taken by the Head of Customer Experience or Customer Relations Manager. The decision will be recorded in our Customer Relations Management system and relayed to the customer by the Head of Customer Experience or Customer Relations Manager with the contact details for Transport Focus and ADR.



Third Party Complaints

We are happy to accept complaints submitted by third parties provided it is clear that the customer has consented to the party acting of their behalf. The response timescales explained above are triggered when we receive the complaint from the third party.

6. Compensation

Compensation for delays

Compensation for delays is outlined in our Passenger's Charter tfwrail.wales Where a complaint relates to a delay we will ensure that our response provides details of compensation arrangements and how to claim.

Forms of Compensation

Compensation for delay repay will be made using one of the following methods:

- Bank Transfer - Payment directly into your chosen bank account. We will ask you to provide the Sort code, Account number and Account name as part of handling your claim via a secure system.
- Credit card - We will ask you to provide your credit card details that you want us to pay your compensation to as part of handling your claim via a secure system.
- National Rail travel vouchers

These are valid for twelve months and can be used to pay for rail journeys anywhere on the National Rail network.

- Cash -You can exchange National Rail Travel Vouchers for money at any TfW ticket office within 3 months of the date of issue. You will need to take identification that includes your signature i.e. bank card, driving licence or passport.
- Donate to Welsh charity - An option to donate your compensation to a Welsh charity is now available.

We will comply with the Consumer Rights Act 2015.

Individual Claims

Individual claims for recompense will be dealt with in line with the National Rail Conditions of Travel and Passenger's Charter, taking into account such factors as the nature of the complaint, the fare paid and any other extenuating circumstances. The National Rail Conditions of Travel can be found on both our websites. When we get back in touch with you, we will let you know if you have an entitlement to receive compensation, any further information we need from you to do this and ensure that this compensation is paid to you.

7. Handling claims

Claims for losses, property damage or personal injury should be made in writing to our Customer Relations Team who will acknowledge within five working days. Claims will then be dealt with in accordance with the Claims Allocation and Handling Agreement (CAHA) – more detail can be found in the National Rail Conditions of Travel.

Lost property

We want to reunite you with their lost or mislaid items as quickly as possible. If you think that you've left something on one of our trains or at one of our stations, please contact us and we'll search all of the items handed in. To report a lost item please use the contact details in Section 11.



8. Complaints relating to other operating companies

Individual train companies

If your complaint relates to another train company, we will send your complaint to them and ask them to get in touch with you via your contact address.

Several train companies

If your complaint involves several other rail companies or Network Rail, we will send your complaint to them and ask them to get in touch. We will let you know when we have sent the complaint. If your complaint involves a journey that features more than one rail company, we will liaise with the other companies involved to ensure you receive a co-ordinated response.

Other Third Parties

If complaints relate to other transport providers (e.g. a bus operator) we will explain this in our reply to you and provide the contact address you need. If you ask us to do so, we will forward your complaint to them directly. If the complaint refers to another non-transport organisation, we will also explain this in our reply and try to provide you with the contact address you need. If you make a complaint which relates to a third-party supplier who is acting on our behalf (e.g. car park management, web support or suppliers of rail replacement services) we will work with the provider to thoroughly investigate the details of your complaint and co-ordinate a response accordingly.

9. Customer satisfaction

Tracking our feedback

Customer insight is essential to improving our service. As part of our business wide commitment to “Thinking like a Customer” we will gather data from complaints, customer satisfaction research/surveys, National Rail Passenger Survey, online/in person customer panels, our Stakeholder Advisory Board, and Accessibility Group. This is reported to our Customer Experience and Transformation Director on a weekly basis and will be provided every four weeks to our Executive Group

All of this data is then fed into our Customer Insight Board, an external body of customer experience experts. They will use these insights to inform strategy, make decisions and ensure continuous improvement in customer experience. Our staff performance is measured on an individual basis to properly understand future training and development needs. We know that our people are key to delivering the high standard of customer experience. We will learn from individual complaints to identify issues and systemic weaknesses.

What happens if you are not satisfied with us?

We will do everything possible to ensure we deliver a high standard of service and respond to your needs and will adhere to the National Rail Conditions of Travel and our Passenger’s Charter. However, if you are not happy with our response, you can contact Transport Focus, the independent passenger watchdog, who will review your case and – if they consider it appropriate – follow things up with us on your behalf. We will always provide their details to you if you’re not happy with our full response to your complaint.

We have agreed to abide by a protocol with Transport Focus to ensure that we are agreed in our expectations of how an appeal will be managed by us, including the speed of response so that resolution for the customer is timely. The Alternative Dispute Resolution (ADR) for Consumer Disputes (Competent Authorities and Information) Regulation 2015 requires us to



advise you of an 'Alternative Dispute Resolution' organisation for your complaint. In our case this is the Consumer Ombudsman consumerombudsman.org.

However, as Transport Focus already provide a mediation service for customers in the rail industry, we do not make use of the ADR process and correspondence to the Consumer Ombudsman will be redirected to Transport Focus.

We will join the RDG Ombudsmen scheme when it is launched. Further detail will be given on our website when the scheme is launched.

Other useful information

You can find more information on our policies for supporting older and disabled customers and practical information on planning your journeys on our website ([hyperlink to DPPP documentation](#))

10. Review of procedure

Our Complaints Handling Procedure will be reviewed each year by the Customer Experience and Transformation Director who is responsible for improving and transforming the customer experience. This will be carried out in consultation with Transport Focus. This Complaints Handling Procedure will not be altered without prior consultation with Transport Focus and prior agreement from the Office of Road and Rail.

This complaint handling procedure will not be altered without prior consultation with Transport Focus and prior agreement from the ORR

11 Contact Details

Web

tfwrail.wales

App downloads

Please search for TfW Rail app in your device's app store

Customer Relations department- complaints and enquiries

tfwrail.wales/cym/contact-us

Phone 03333 211 202

0800 – 2000 Monday to Saturday including bank holidays

1100 – 2000 Sunday

03 calls charged at local rates

Post

Customer Relations, Transport for Wales, Rail Services, St Mary's House, 47 Penarth Road, Cardiff CF10 5DJ

Twitter @TfW_Rail

0800 – 2000 Monday to Saturday

1100 – 2000 Sunday

Facebook [Facebook link]

Instagram @TfW_Rail

Delay Repay applications and refunds

Online tfwrail.wales/cym/delay-compensation

By post FREEPOST Customer Relations, Transport for Wales, Rail Services, St. Mary's House, 47 Penarth Road, Cardiff CF10 5DJ



Assisted travel booking

Online, when making a booking via our website

Phone 033 300 50 501

Next generation text 08457 585 469

Phone 03457 48 49 50

Textphone 0345 60 50 600

Lost property

Online tfwrail.wales/cym/lost-property

Phone 03333 211 202, select Option 5

Transport Focus

Web transportfocus.org.uk

Phone 0300 123 2350

Email advice@transportfocus.org.uk

Post Transport Focus, Freepost (RTEH-XAGE-BYKZ) PO Box 5594 Southend on Sea, SS1 9PZ

National Rail Enquires

Web nationalrail.co.uk

Phone

- 03457 48 49 50 English language service 24 hours a day except for Christmas Day
- 0345 60 40 500 Welsh language service (0700 - 2200)
- 0345 60 50 600 Textphone enquiries can be made 24 hours a day with calls returned between 09 00 and 16 30 Mondays to Fridays

All calls may be monitored.



11. Network map

● Mynediad heb stepiau'n bosb i bob platform. Mae'n bosb fod rampiau sy'n cydymffurfio a / neu lifftiau ar gael.

Step free access to all platforms, compliant access ramps and/or lifts may also be available.

● Mynediad rhannol: Mae'n bosb fod mynediad i rai platformau drwy ddefnyddio rampiau sydd â graddiant bas i gymedrol; grisiau, croesfan droed ar draws y rheffordd neu ddargyfeiriad hir rhwng y platformau. Efallai y bydd graddiant y ramp rhwng y tren a'r platform yn rhy serth hefyd i gael ei ddefnyddio. Dim parcio neu barcio cyfyngedig ar gael.

Partial access. Access to some platforms may involve ramps with shallow to moderate gradients, involve steps, use of a foot crossing across the railway or a long detour between platforms. The gradient of the ramp between the train and the platform may also be too steep to be deployed. No or limited parking available.

● Nid yw'r orsaf yn addas i ddefnyddwyr cadeiriau olwyn, defnyddwyr sgwter symudol neu bobl sydd â lefel symudedd is. Mae mynediad i'r platformau drwy risiau neu rampiau'n serth.

The station is not suitable for wheelchair users, powered mobility scooter users or persons with reduced mobility. Access to the platform(s) is via steps or steep access ramps(s).

Nid yw Gwasanaethau Rheilffordd Trafnidiaeth Cymru yn derbyn unrhyw gyfrifoldeb am gangymeriadau neu hepgoriadau yn y wybodaeth a gyhoeddiwyd. Mae Gwasanaethau Rheilffordd Trafnidiaeth Cymru yn cadw'r hawl i wneud newidau i'r gwasanaethau a'r cyfleusterau amlinellir.

Transport for Wales Rail Services accepts no liability for any errors or omissions in the information published. Transport for Wales Rail Services reserves the right to make changes to the services and facilities outlined.

*Nid yw gorsafodded a seren yn cael eu gweithredu gan Trafnidiaeth Cymru.
*Stations marked with an asterisk are not operated by Transport for Wales

- Gwasanaeth rhwng Gogledd a De Cymru
- North Wales South Wales Service
- Linell y Mers Marches Line
- Linell Arfordir y Cambrian Cambrian Line
- Linell Calon Cymru Heart of Wales Line
- Linell Arfordir Gogledd Cymru North Wales Coast Line
- Linell Dyffryn Conwy Conwy Valley Line
- Linell y Gororau Borderlands Line
- Llandudno i Manceinion Llandudno to Manchester
- Linell Gorllewin Cymru West Wales Line
- Swanline Swanline
- Maesteg i Cheltenham Spa Maesteg to Cheltenham Spa
- Caer i Crewe Chester to Crewe
- Crewe i Amwythig Crewe to Shrewsbury
- Cymoedd y De Cymru South Wales Valleys

