

IX. QUALITY OF SERVICE

Pennsylvania-American Water Company
 Northeast Wastewater Operations
 Data Requirements of the Pennsylvania Public Utility Commission
 For Period of January 1, 2009 to December 31, 2009

FR IX.1

**Pennsylvania-American Water Company
 Northeast Wastewater Operations – Lehman Pike, Blue Mountain Lake and Pocono
 facilities**

IX. Quality of Service

1. Indicate whether the Company is in violation of any provision of the Pennsylvania Safe Drinking Water Act (SDWA) or any rule, regulation or order, or any condition of any permit, variance or exemption granted by the Pennsylvania Department of Environmental Protection (PA-DEP), or its predecessor.

RESPONSE: The SDWA regulates drinking water supplies and has no references to wastewater. The Northeast wastewater operations fall under the regulatory requirements of the Clean Water Act and the Clean Streams Law.

No violations were received from the Pa DEP for any environmental issues at the wastewater plants in our Northeast PA area .

- a. Provide information indicating whether the Company is in compliance with SDWA provisions at 25 Pa. Code, §109.407 regarding general public notification requirements.

- (i) Provide a copy of each public notification given in accordance with this section, since the last rate proceeding.

RESPONSE: The Northeast wastewater plants are not covered under the Safe Drinking Water Act. This question is not applicable.

- (ii) Provide a detailed explanation of all actions taken to remedy an acute violation, and/or to comply with the requirements prescribed by a variance or exemption.

RESPONSE: The Northeast wastewater plants are not covered under the Safe Drinking Water Act. This question is not applicable.

- (iii) State whether any fines or penalties were assessed by PA-DEP, and indicate the amounts paid by the Company.

RESPONSE: The Northeast wastewater plants are not covered under the Safe Drinking Water Act. This question is not applicable.

- b. (i) Provide the most recent copies of all annual consumer confidence reports issued pursuant to SDWA Amendments of 1996 since the last rate proceeding.

RESPONSE: A consumer confidence report is not issued for the Northeast wastewater operations and is not required by any environmental statute.

- (ii) Provide any annual consumer confidence reports which reflect violations of state and Federal drinking water requirements.

RESPONSE: Not Applicable.

- (iii) Explain how these violations were resolved.

RESPONSE: Not Applicable.

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2. Indicate whether the Company is in compliance with 52 Pa. Code, § 65.6(a) regarding normal operating pressure standards, with 52 Pa. Code, § 65.6 (d) regarding pressure surveys at regular intervals.
 - a. Provide details on any water pressure problems, lasting longer than five days, which had occurred since the last rate proceeding in any part of the water transmission and distribution system.
 - b. Describe any action taken on a temporary basis, and the long term solutions developed to address any water pressure problems.

Answer: Not applicable to operations of a sewer system.

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3. Provide support to demonstrate that water or wastewater service is being furnished on a continuous basis by supplying a summary of the Company's records of each service interruption greater than 24 hours since the last rate proceeding.

Answer: The Northeast sewer system has not experienced any service interruptions greater than 24 hours.

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Quality of Service Customer Complaints

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4. Provide a discussion of the Company's policy, or provide a copy of the policy if in written form, on tracking and responding to customer complaints.
 - a. Provide a summary report demonstrating the Company's compliance with 52 Pa. Code, §65.3 regarding the full and prompt investigation of service or facility complaints and the record keeping requirements of such complaints.

Answer: Please see attached.

- a. There were no complaints for the Northeast Wastewater Operations.

Pennsylvania Escalations Process

Introduction

The Pennsylvania Public Utility Commission has set specific guidelines for AW to resolve any customer dispute within 30 days from the creation of the original contact to verbal customer satisfaction or issuance of a UTLRPT Utility Company Report.

Objectives

After completing this training session, you will be able to complete the following objectives:

- Identify a customer's issue.
- Resolve the issue, if possible.
- Determine if the unresolved issue is a dispute.
- Escalate the dispute, if you cannot resolve it.
- Recognize special circumstances that are not disputes, or that are handled by local field operations personnel.
- Identify the difference between satisfaction of information provided and satisfaction with the resolution to an issue.
- Properly document the original contact and initiate the 30 day process.
- Properly research accounts for an existing/ongoing dispute

Key Terms

- UTLRPT (Utility Company Report)
- ART (Account Resolution Team)
- Floor Supervisor
- PA Escalations Bucket, PAGRPESCAL
- Issue
- Dispute

Pennsylvania Escalation Process

What is a Dispute? - Pennsylvania Regulations

Dispute: A grievance of an applicant, ratepayer or occupant about a utility's application of a provision covered in this chapter, including subjects such as credit determinations, deposit requirements, the accuracy of meter readings or bill amounts, or the proper party to be charged. If, at the conclusion of an initial contact or, when applicable, a follow-up response, the applicant, ratepayer or occupant indicates satisfaction with the resulting resolution or explanation, the contact **will not** be considered a dispute.

So, with that said;

The Pennsylvania Public Utility Commission regulations considers any contact made between American Water and its customers to be a dispute **if**; at the conclusion of a call, a Pennsylvania customer has not indicated satisfaction about the issue in question. Once a dispute is identified, we have 30 days to either obtain verbal satisfaction from the customer or send the customer a letter called a "Utility Company Report", see page 10 for an example letter.

In order for us to resolve issues within the timeframe allowed by the Pennsylvania Regulations we have outlined a process that will enable CSR's to successfully handle any situation that may arise. The following points have been identified to guide CSR's in determining the best course of action based upon the issue presented by the customer:

1. Identify the issue that the customer has raised.
2. Resolve the customer's issue so that no dispute exists.
3. Identify special circumstances – ATP or Local Operations issues.
4. Follow up on unresolved issues that become disputes.
 - Transfer contacts to the PA Escalations Bucket, PAGRPESCAL.
 - Place holds on accounts
 - Issue service orders when appropriate.

Pennsylvania Escalations Process

1. Identify the issue

In order for us to resolve an issue, we must first completely understand what the issue is. An issue is a concern raised by a customer that can be addressed by taking an action. If a customer raises a concern that cannot be addressed by taking an action, it is not an issue.

This may not be as simple as it sounds. For example, a customer may want verification that their account has been closed, but is upset because they could not get this information on a previous call. The issue is, **has the account been closed?** The issue isn't that the customer is upset that they could not get this information on a previous call.

Some examples of issues:

Situation	The Issue	NOT The Issue
A customer is contacting the PUC because he does not agree with the DSIC service charge on his water bill.	The customer does not understand the DSIC service charge on his water bill.	A customer is contacting the PUC.
A customer is contacting her state legislator because her meter was misread and the misread resulted in a high bill.	A customer's meter was misread, resulting in a high bill.	A customer is contacting her state legislator because of a high bill.
A customer calls because she notices a leak on the inlet coupling of the meter. She stated that last month, a mainbreak near her home resulted in interruption of her water service for six hours.	A leak on the inlet coupling of the meter.	The main break last month.

2. Resolve the customer's issue so that no dispute exists

Most customer contacts do not result in a dispute. Not all issues are disputes, and not all issues have to be handled as disputes. For example, if a customer calls to start service on Monday but the first available appointment isn't until Wednesday, the customer may not be happy about having to wait. However, after your explanation of our service order availability, the customer understands and is willing to wait for the appointment. In this case, there is no dispute.

Any issue that you resolve with the customer over the phone, **and** that customer expresses satisfaction with the resolution of their issue, is not considered to be a dispute. Your customer service skills may be all that is required. Remember that a conversation can go both ways. What you say and how you say it has a very strong influence on the customer's experience. The explanation of a process may at first not be what the customer wants to hear, however after further discussion, the customer fully understands our position and/or policy and it begins to make sense to him/her. Only when the customer **does not** express satisfaction with the resolution of the issue, or the outcome of their contact with you, is there a dispute.

Note: If possible, we always want to resolve the customer's issue on the first contact.

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Below are some common examples of issues that CSR's routinely resolve on the first contact:

- A customer needed an extra day to pay their bill, and the bill is not overdue at this time. The customer is concerned about getting charged a late fee. You realize that this is an ATP situation. To avoid the late fee and follow proper ATP procedures, you update ATP and create a payment arrangement for the customer based on ATP guidelines.
- A customer didn't understand the DSIC service charge on their bill. After the explanation the customer was satisfied.
- A customer calls to report water running in the street that is damaging the customer's property. You create an Emergency service order, and inform the customer that a field representative will follow up shortly.
- A customer calls to complain about a high bill. After asking probing questions, the customer realizes that they put new grass in their yard and the additional watering over the previous billing period caused the high bill. The customer understands why the bill is high, and is satisfied.

Keep in mind that all of these examples are not disputes only if the customer has expressed satisfaction that we have effectively addressed their issue. If the customer is **not satisfied** with the resolution of their issue, any of the above examples would become a dispute.

At the end of the call, we are required to ask, "**Are you satisfied with the information provided during this call?**" We will continue to ask this question, because it is **important to document** the customer's satisfaction (or lack thereof) in U/C Comments. However, when dealing with a potential dispute, it is very important that we determine **and document** if the customer is satisfied with the **resolution** of the **issue**. This is not the same as being satisfied with the information that we have provided over the phone. For example, the customer can be very satisfied with the way that you have treated them, but they can be dissatisfied with the resolution of the issue they have raised. In this case, we have a dispute.

When completing a call that involves a potential dispute, ask, "**Are you satisfied with the information provided and actions taken to resolve your issue?**" If the answer to the question is "Yes", and no further follow up work is required to satisfy the customer, or no further information is required to be provided to the customer, the Utility Contact should be closed and the UCAC comment should read, "Customer satisfied with resolution of the issue."

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3. Special Circumstances – Unresolved Issues that are not disputes or are resolved by field personnel

ATP - Chapter 14/56 Guidelines

Some issues are not within the scope of the PA Disputes regulations, and are therefore not disputes. If a customer's issue falls under the ATP guidelines, he cannot dispute the process. For example, a customer who has been turned off for nonpayment is upset that their water service is not restored until the day after they paid. This is not a dispute because PA collections regulations allow at least 24 hours for AW to restore service after a payment is made.

Other examples of ATP issues that are not disputes:

- A customer cannot afford to pay the amount needed to stop termination, including the catch up amount
- A customer complains about being required to pay the full balance of their bill after they have been shut off for nonpayment.
- A customer is set up on a payment agreement through the ATP process.
- A customer insists on a payment arrangement longer than 5 years.
- A customer wants a new payment agreement when there is no change in income or circumstance.
- A customer refuses to provide Ability to Pay information

Local Field Operations Issues

Loss Control issues, Restoration issues, Water Quality complaints and inquiries, and Low Pressure issues should continue to be handled using the current processes. For example, when customers call with loss control issues, we generate a utility contact and transfer it to the appropriate contact bucket for local follow-up. When the local field operations group receives these contacts they take appropriate actions to resolve the issue to the customer's satisfaction.

When a customer calls regarding **follow-up of an existing** problem that was supposed to be handled by Local Operations, please forward a contact to the PA Escalations Bucket, PAGRPESCAL. The PA Escalations group will follow-up as necessary.

Field issues that can become disputes include:

- NSI
- Loss Control issues
- Restoration Issues
- Water quality complaints and inquiries
- Low pressure issues where local actions must be taken

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4. Follow up on unresolved issues that have become disputes

Instances will arise in which, despite your efforts, a customer is not satisfied with the action you have taken to resolve their issue. In other instances, follow-up work is required in order to resolve the issue. These are the types of issues that become disputes. For example, a customer wants a late fee removed and has an excellent payment history. You are required to forward his request to the PA Escalations Bucket, **PAGRPESCAL** for credit. This situation is an unresolved issue and therefore a dispute because the CSR is not able to resolve the issue at the end of the call.

Additionally, there may be instances in which you as a CSR can not promise or guarantee that the desired results will be taken. For example a customer requests a late fee be removed but has a poor payment history. You suspect that the PA Escalation Team will not grant the request, but the customer has insisted that this request be escalated.

Below are some other common examples of issues that CSR's are **not able** to routinely resolve on the first contact:

- A customer wants a bill adjustment due to a repaired leak.
- A customer calls to start service on Monday but the first available appointment isn't until Wednesday. After hearing the CSR's explanation of service availability, the customer is still not satisfied with having to wait.
- After your explanation, the customer still does not understand a specific charge on their bill.
- A customer has a high bill, and does not want to pay it until the source of the high bill is understood and resolved.
- A customer is unwilling to pay her bill because the latest meter reading was estimated. Regardless if the estimate is scheduled or not.
- A customer requests us to waive misc. charges.
- A customer is calling to find out the results of a previous service order. The service order was cancelled or rescheduled with no customer notification and problem still exists.

In many of these instances, the customer will be satisfied with the actions we are taking to resolve the issue, but they are not yet satisfied with the resolution of the issue. These instances are disputes.

For example, a customer may be very happy that their issue is being referred to another department to consider an adjustment. They may tell you how helpful you have been, and how satisfied they are with the service you have provided today.

At this point, however, the customer does not know if an adjustment will be made, or the amount of the potential adjustment. If the customer does not get an adjustment, or if the amount of the adjustment is lower than the customer expected, the customer will not be satisfied with the resolution of their issue, which means that this issue is a dispute.

When a dispute exists at the end of your conversation with the customer, do the following:

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1. Forward the contact to the PA Escalations Bucket, **PAGRPESCAL**
2. If required, issue a service order to resolve the customer's issue
3. If a bill or payment is in dispute, place the account on a 30 day hold

Once an issue has become a dispute, we have 30 days to attempt to resolve the issue to the customer's satisfaction. As CSR's, our objective is to identify disputes and forward them to the PA Escalations bucket. Other groups then follow up on each of these issues to reach resolution within 30 days.

Specific Example Circumstances

1. Prior to issuance of a Utility Company Report, UTLRPT

In the case where a customer is concerned about a high bill, we ask all of the probing questions as usual to determine if the customer has a reason for the high usage or if the customer notices a leak. If the answers to the probing questions indicate that the high usage cannot be explained, we attempt to gain customer satisfaction by sending the customer a leak detection kit. If the customer is not willing to accept the leak kit, the issue has become a dispute. In this case, issue a HILOW service order indicating that the customer refused the leak kit and place a 30 day hold on the account. A HILOW utility contact should be created and then closed. A contact does not have to be transferred to the PAGRPESCAL bucket in this case, because the Account Resolution Team has the responsibility to follow up on all HILOW service orders, and will attempt to resolve the customer's issue.

If the customer has already received a leak detection kit, and still has a high bill concern, issue a HILOW service order, document pertinent facts, and place a 30 day hold on the account. Also create **and** close a HILOW utility contact. Again, a contact does not have to be transferred to the PAGRPESCAL bucket in this case, because the Account Resolution Team has the responsibility to follow up on all HILOW service orders, and will attempt to resolve the customer's issue.

In the case where a customer refuses to pay a bill because the latest read has been estimated, and the meter is read monthly, under the appropriate circumstances, issue an EST service order. Additionally, you will need to forward the contact to the PA Escalations bucket, PAGRPESCAL.

If a customer is instructed to fax or mail in receipts to billing for an adjustment request due to a leak, **DO NOT** forward a contact to the PA Escalation Team. When the Billing Department receives the fax, they will make a determination based upon the documentation and inform the PA Escalation Team of the results. The PA Escalation Team will send a UTLRPT to the customer explaining the company's decision.

1a. Open Contacts

If an existing contact is already open for the customer's issue (the customer is calling for an update), review the existing contact for any information left by a member of the PA Escalation Team to determine your next actions.

You may only have to relay information and gain satisfaction from the customer and close the contact or you may be instructed to transfer the call. If transferring the call, use the warm transfer method.

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Note: Never give out any extension numbers

If no amplifying notes are left in the open contact, inform the customer that the issue is being addressed, and that they should be receiving a response shortly. Create a new CFLWP U/C contact, document the call, and close the contact.

2. After a Utility Company Report UTLRPT was sent regarding same issue

At the beginning of the call, if a Utility Company Report has already been sent to the customer regarding the issue, determine if any circumstances have changed, or if new circumstances have recently occurred. If this is the case, create a new utility contact, provide appropriate documentation, and transfer the contact to the **PAGRPESCAL** bucket.

If circumstances have not changed, inform the customer to follow the instructions outlined at the bottom of the Utility Company Report. Do not forward another contact to the PA Escalations Bucket.

At the end of a call, if a customer expressed verbal satisfaction with the resolution of the issue, the customer may still request written documentation regarding the decision or results of his issues. In this situation, create a CFLWP contact type, note that the customer wants written documentation, and send the contact to the PA Escalations Bucket with the customer's request.

Documentation

It can not be stressed enough that proper documentation is vital both in Utility Comments and in Service Order Comments. It is very important that comments can be clearly understood by anyone reviewing the account. When writing, you usually know what you want to say, however it may not be the same as what you put in your comments. Try and review your comments as if you were reading them for the first time. This may help to ensure that what you wrote is what you meant. In addition, it is important that we clearly document that the customer is satisfied with the resolution of their issue, (if this is the case).

Remember, this information becomes part of the permanent record for that account and serves to let the next person who assists this customer get a brief overview of your interaction.

Proper documentation is vital especially in circumstances where customers file a PUC complaint. During PUC legal proceedings, this documentation is used to determine if AW followed procedures correctly in addition to ensuring that the customer was given enough information to make an informed decision regarding his issue.

In all instances, please remember to include all required information and any expectations you have communicated to the customer. Also please be sure to provide enough information so that the person following up can easily understand what additional activities will be required to resolve the customer's issue. For example "Customer states they will be satisfied if (amount of adjustment) is granted."

Note: When a customer calls regarding an issue that is covered in an open PUC contact, it indicates that the PUC is investigating the account on this issue. The compliance department in Pennsylvania is handling this matter. Explain to the customer the PUC should contact them regarding

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this specific situation. You may help the customer with any other issues that do not pertain to the open PUC contact.

Utility Company Report - UTLRPT

Whenever a customer initiates a dispute, we have 30 days to either satisfy the customer's concerns or send the customer a Utility Company Report. This report, (LGS letter), gives closure to the customer's issue and satisfies AW's requirements according to the Pennsylvania Regulations.

The Utility Company Report is generated by either the ART Team, (Account Resolution Team) or the PA Escalations Group. It is written on company letterhead that outlines the following:

- The customer's complaint
- AW's findings
- AW's position
- Information to the customer regarding the dispute

Since no two issues are identical, each Utility Company Report is unique in its composition.

Utility Company Reports are issued:

1. In situations where a customer does not verbally indicate satisfaction and satisfaction will not be reached per AW guidelines, policy, or procedures. The letter is sent within 30 days from the initial contact regarding the dispute.
2. In situations where a customer expresses verbal satisfaction with the resolution of the issue, but would like written documentation regarding the decision or results of the issue.

Please see an example of a Utility Company Report template on the next page.

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(Company Full Name)

(Company Address 1), (Company Address 2), (Company City) (Company State) (Company Zip)
(Company Phone)

(Mailing Address Name)
(Mailing Address 1)
(Mailing Address 2)
(Mailing City) (Mailing State) (Mailing Zip)

(Letter Date)

Account Number: (Cmp Id)-(Account Number)-(Check 1
Premise Number: (Premise Number)
(Service Address 1)(Service Address 2)
(Service City) (Service State)

Utility Report

Transaction Date: (Variable Data)
Transaction Time: (Variable Data)
Caller Name: (Variable Data) CI Clerk: (Variable Data)

Complaint -

Findings -

Position -

Information To Customer -

* The amount currently outstanding on your account is \$(Amount Owed). Your account will become delinquent on (Variable Data) unless you enter into a payment or settlement agreement, or you file an informal complaint with the (Public Utility Commission). No further action will be taken on your account until after this date.

Service will not be terminated pending completion of the dispute process including informal and formal complaints so long as there is compliance with all requirements of the commission. If the ratepayer does not agree with the contents of this report, he/she may file an informal complaint with the (Public Utility Commission) within 10 days from the date appearing above. The informal complaint may be filed by telephoning the commission at toll free (Variable Data) or writing to (Variable Data), (Variable Data).

* Company report issued on (Variable Data) and sent to (Mailing Address Name).

TMPNAME

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Pennsylvania Escalations Process

Escalations Job Aid – CSR Process

Now that we all understand what is and isn't a dispute, the guide below outlines the responsibilities and steps to take while handling issues. It is designed as a guide as no two situations are going to be the same. Please keep in mind that your actions, the paths you visit while researching accounts and the outcome of the various issues will depend on the situation that each customer presents.

This job aid is designed to provide CSR's with questions to ask themselves when determining the most appropriate course of action.

Situation - Customer calls regarding an issue		
QUESTIONS	IF YES	IF NO
Is there an existing open contact for this dispute/issue?	<ol style="list-style-type: none"> 1. Inform customer that a response will be received shortly 2. Create a new contact. 3. Document appropriate comments. 4. Close the new contact. 	<ol style="list-style-type: none"> 1. Go to next question
Has customer received a UTLRPT letter regarding this dispute/issue?	<ol style="list-style-type: none"> 1. Create a new UCAC contact and note what you informed the customer. 2. If no new circumstances exist, inform customer to review their rights stated in the Utility Co Report and take appropriate action. 3. If additional circumstances have arisen, transfer contact to the PA Escalations Bucket - PAGRPESCAL 	<ol style="list-style-type: none"> 1. Ask probing questions and research account to see if you are able to satisfy customer. 2. Go to next question

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Situation - Customer calls regarding an issue		
QUESTIONS	IF YES	IF NO
Is a HILOW service order required to resolve the issue?	<ol style="list-style-type: none"> 1. Issue HILOW service order 2. Place a 30 day hold on account 3. Close HILOW contact. 	<ol style="list-style-type: none"> 1. Go to next question.
Is a service order (other than HILOW) required to resolve the customer's issue?	<ol style="list-style-type: none"> 1. Issue service order. 2. Follow normal process for service order type 3. If required, Transfer Utility Contact to the PA Escalations Bucket - PAGRPESCAL 	<ol style="list-style-type: none"> 1. Go to next question.
Is the issue a restoration, loss control, or water quality issue?	<ol style="list-style-type: none"> 1. Follow the normal process. 	<ol style="list-style-type: none"> 1. Go to next question
<p>Does customer express verbal satisfaction with the resolution of his issue</p> <p>AND,</p> <p>Were you able to fulfill customers request without forwarding to another department?</p>	<ol style="list-style-type: none"> 1. Document satisfaction in the U/C Comments 2. Close contact. 	<ol style="list-style-type: none"> 1. Put a 30 day hold on account, if appropriate. (Use an existing hold-type depending on situation). 2. Transfer Utility Contact to the PA Escalations Bucket - PAGRPESCAL



Introduction

In order to improve the handling of disputes in Pennsylvania, and to improve compliance with Pennsylvania PUC regulations in this area, a new work group has been assembled at the Pensacola CSC, called the Pennsylvania Escalations Group. This document is a guide for the PA Escalations Group personnel to use in order to successfully deal with each dispute.

Objectives

After completing this training session, you will be able to complete the following objectives.

- Resolve open Pennsylvania dispute contacts within 30 days
- Refer dispute contacts to the proper party for resolution
- Monitor the status of these open contacts as resolution activities are undertaken.

Key Terms

- UTLRPT (Utility Company Report)
- Floor Supervisor
- Issue
- ART (Account Resolution Team)
- PA Escalations Bucket, PAGRPESCAL
- Dispute

PA Escalations Group – General Responsibilities

While the PA Escalations Group handle a multitude of tasks and responsibilities, their primary responsibility is to ensure that every open dispute contact under their control is resolved within 30 days. 'Resolved' means to either gain verbal satisfaction from the customer that their issue has been resolved, or to issue a Utility Company Report. Some issues, while disputes, are not under the control of the PA Escalations Group, and are not part of the group's responsibility to resolve. These include contacts that go to the Account Resolution Team and contacts that go to local operations, such as restorations, loss control, and water quality.

In addition, the PA Escalations Group has important secondary responsibilities. These include:

1. Assists the Billing Department in resolving billing issues. This assistance consists of receiving decisions about adjustments from the billing department, calling the affected customers to inform them of the billing department's decision (attempting to gain verbal satisfaction for the resolution of their dispute), and issuing Utility Company Reports if the customer has not expressed verbal satisfaction.
2. Assists the Collections Department in resolving collections issues in which the customer must be contacted.
3. Assists the local offices maintain status updates on restoration and pressure field dispute issues, updating appropriate U/C comments supplied by field personnel, and issuing Utility Company Reports when appropriate and when requested by field personnel.

Due to the broad definition of a dispute under the Pennsylvania regulations, issues that become disputes can be handled by several different AW groups. Many of the U/C contacts associated with these disputes are forwarded to the **PAGRPESCAL** bucket. In order to handle these disputes effectively, to ensure that all disputes are handled and resolved, and to avoid duplication of efforts, it is important to understand the responsibilities of each AW group. They are listed in the Appendix of this document. Below is a brief overview of the roles and responsibilities of each group.



Role of CSRs

1. Identify disputes
2. Transfer contacts and or service orders related to **field issues** to appropriate party
 - a. Restorations – to restoration contact bucket (no change in process)
 - b. Loss Control – to loss control contact bucket (no change in process)
 - c. Water Quality – create Water Quality Complaint or Inquiry (no change in process)
 - d. Low Pressure (non Emergency) – issue service order (no change in process)
3. Create a new U/C Contact to track dispute status
4. Place accounts on hold, if necessary
5. Issue service orders, if necessary
6. Transfer contacts to **PAGRPESCAL**
7. Close contacts if customers express verbal satisfaction with the resolution of their issue

Role of Floor Supervisors

1. Reviews open contacts in PAGRPESCAL Bucket for validation of further action
2. Takes appropriate actions to resolve disputes
3. Calls customers to attempt to resolve disputes; Removes holds as necessary; Documents satisfaction in U/C Comments
4. Issues service orders when necessary
5. Transfers contacts to the appropriate bucket for follow-up
6. Issues Utility Company Reports as necessary
7. Receives bill adjustment decisions from the Billing Department; calls customer to attempt to gain satisfaction.
8. Reviews information on restorations provided by field personnel. Update contacts, issue Utility Company Reports as necessary.
9. Receives follow up contacts on issues where a Utility Company Report has already been issued. Attempts to resolve or forwards to ART
10. Monitors open contacts; ensures that contacts are processed within 30 days
11. Closes contacts

Role of PA Escalations CSR position

1. Monitors open contacts in PAGRPESCAL; ensures that contacts are processed within 30 days
2. Collects facts on unresolved issues, compiles into standard format
3. Issues Utility Company Reports as necessary
4. Issues service orders when necessary
5. Transfers contacts to the appropriate bucket for follow-up

6. Takes appropriate actions to resolve disputes
7. Removes holds as necessary
8. Closes contacts

Role of Team Supervisor

1. Receive input from Floor Supervisors
2. Coach team members

Role of the Billing Department

1. Makes simple billing adjustments
2. Takes appropriate actions to resolve disputes
3. Documents billing adjustment decisions in U/C comments and transfers contacts to the PAGRPESCAL Bucket for customer follow up

Role of the Collections Department

1. Processes payment disputes such as missing payments, misapplied payments, and encoding errors.
2. Documents decisions in U/C comments and transfers contacts to the PAGRPESCAL Bucket for customer follow up
3. Processes and issues credit refunds
4. Transfers funds per customer request
5. Takes appropriate actions to resolve disputes
6. Removes 30 day holds as appropriate
7. Closes contacts as appropriate
8. Issues Utility Company Reports

Role of the Account Resolution Team (ART)

1. Makes more complex billing adjustments, particularly when account research is required.
2. Resolves complex disputes
3. Handles high bill disputes when a HILOW service order is issued.
4. Takes appropriate actions to resolve disputes
5. Calls customer and attempt to verbally resolve disputes
6. Removes 30 day holds
7. Documents satisfaction in U/C Comments
8. Closes contacts
9. Issues Utility Company Reports



Floor Supervisors – Detailed Responsibilities

1. Review contacts in the PAGRPESCAL bucket several times per day.
 - a. Evaluate each contact and provide a quality control check on the contact. The goal of this review is to prevent contacts from going to other AW parties unnecessarily, and identifying and correcting CSR errors. If the issue could have been handled and resolved by the CSR in the initial contact, provide feedback to the appropriate Team Supervisor in order for the CSR to be coached. Then, if the customer's issue can be handled by the Floor Supervisor, please do so. For example, the CSR may not have adequately explained a charge on a customer's bill, or a CSR instructed the customer to send in receipts for an adjustment that is not authorized as shown in IDA.
 - b. Occasionally, utility contacts may appear in the PAGRPESCAL bucket in error. For example, a restoration or loss control contact may have been transferred to the bucket by a CSR in error. In this case, the contact should be sent to the appropriate party or bucket, and the CSR's Team Supervisor should be informed so that CSR coaching can occur.
2. Process contacts that are not appropriately referred to other parties. Specific examples include:
 - a. Calling customers to explain bill charges. Often, a customer simply needs a detailed explanation of a bill charge in order to be satisfied. This may be a more in-depth explanation of a DSIC charge, the reason for activation or reconnect fees, the reason for a late charge, or an in-depth explanation of the monthly service charge. The customer may wish to know the current water rates. Floor Supervisors are responsible for reviewing these types of contacts that appear in the PAGRPESCAL bucket, and calling the customers to explain the charges. If the customer is then satisfied with the explanation, the Floor Supervisor documents satisfaction in the U/C comments and closes the contact. If the customer is not satisfied, a Utility Company Report is sent.
 - b. Waive charges and fees, or issue courtesy adjustments, only if appropriate. At times, a charge or fee should be legitimately waived. For example, a customer's water was turned off by AW in error, and a service activation fee appeared on the customer's account and bill. In other instances, a courtesy adjustment is appropriate. For example, a customer may have unusual and legitimate circumstances that resulted in a late fee. After checking the customer's payment history, you may determine that waiving the late fee is appropriate.
 - i. Before deciding on courtesy adjustments, please be fair to both the customer and to American Water. We do not want to issue courtesy adjustments frivolously; other customers ultimately bear the cost of these adjustments. On the other hand, we do not want to alienate customers with legitimate circumstances who have a history of prompt payments.

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- ii. Refer to IDA Quick Link, On Line Library – Education and Development – Billing Training Manual Section 5 Billing Adjustments Maintenance, Page 31 for the procedure on Waiving Fees and Applying Courtesy Adjustments.
 - iii. In each case, call the customer to inform them of your decision on the issue. If the customer expresses verbal satisfaction of the resolution of the issue, document in U/C comments and close the contact. If the customer is not satisfied with your decision, and you have made reasonable steps to resolve the customer's issue, document in U/C comments, close the contact and send a Utility Company Report.
 - c. Provide the customer with a follow up explanation or a more in-depth explanation of their issue. At times, CSRs may not fully explain an issue to a customer, leaving the customer dissatisfied. For example, neither a customer nor the CSR may fully understand the process for issuing a credit refund, resulting in the customer not being satisfied with the resolution of the issue at the end of the initial call with the CSR. In these instances, determine the customer's issue and call the customer, providing them with additional pertinent details. Following your explanation, if the customer is satisfied, document their satisfaction of the resolution of the issue in the U/C comments and close the contact. If the customer is not satisfied, and no further explanation or action will satisfy the customer, document your actions in the U/C comments, close the contact and send a Utility Company Report.
 3. Refer contacts not handled by the PA Escalations Group to the appropriate parties/buckets for processing. Following the quality control check described above, certain contacts should be forwarded. These can include:
 - a. Simple billing adjustments. Following the quality control check described above, any issues that involve simple billing adjustments, or simple billing functions should be forwarded to the BILLFLWUP bucket for the billing department to handle.
 - b. **Cash transfer of credits and credit refund requests.** Forward to the CRDTCONTACT bucket for processing by the collections department.
 - c. Payment disputes, including missing payments, misapplied payments, and encoding errors. Cash transfer **balance** requests made by customers would also be part of this category. All of these contacts should be forwarded to the COLLFLWUP bucket for processing by the collections department.
 - d. Complicated billing adjustment issues, including those requiring account research. These contacts should be transferred to the DSPTFLWP bucket. The Account Resolution Team (ART) will conduct the necessary research, analysis, and customer follow up.



- e. Contacts generated as a result of a customer calling back after receiving a Utility Company Report. If the customer has new information that might make the previous decision outlined in the report incorrect or inappropriate, forward the contact to the DSPTFLWP bucket for processing by ART.
4. Follow up on adjustment decisions made by the Billing Department. For Pennsylvania customers, when the Billing Department issues an adjustment, the billing group will document the amount of the adjustment and any pertinent details of the adjustment in the U/C comments, and will forward the contact to the PAGRPESCAL bucket. When received, the Floor Supervisor will contact the customer, inform the customer of the amount of the adjustment, along with any pertinent details, and will determine if the customer is satisfied with the resolution of the issue. If the customer expresses verbal satisfaction, the Floor Supervisor will document the U/C contact with appropriate comments and close the contact. If the customer is not satisfied with the resolution of the issue, document in U/C comments and send a Utility Company Report.
 - a. Should unusual circumstances arise in contacting the customer, or should the Floor Supervisor believe that the adjustment is not adequate following the conversation with the customer, instead of sending a Utility Company Report the Floor Supervisor will forward the contact to the Account Resolution Team for further evaluation.
5. Follow up on any disputes that have been transferred to the Collections Department. Decisions made by collections are put in the U/C comments and sent to PAGRPESCAL. Like billing department decisions, the PA Escalations Group is responsible to contact the customer, inform the customer of the decision, and determine if the customer is satisfied with the resolution of the issue. Depending on the customer's response, the contact is documented and closed and if appropriate, a Utility Company Report is issued.
6. Follow up on actions taken by the field related to restorations and low pressure issues. While the PA Escalations Group is not responsible for tracking or resolving restoration disputes, the group issues Utility Company Reports on behalf of the field when necessary. The field will send a Utility Contact to the PAGRPESCAL bucket with the information. When this becomes necessary, the PA Escalations Group will receive specific information from the field which will include the customer's name and account number, the circumstances of the restoration or low pressure issue, the findings of the field, the position of the field, and any other pertinent information. Using this information, the PA Escalations Group will send a Utility Company Report to the customer.
7. Follow up on HILOW service orders that were recently issued and then cancelled. For various reasons, some HILOW service orders are cancelled rather than worked. Unless the customer has been contacted, and has expressed satisfaction (or unless a new HILOW has been scheduled), their issue is still a dispute, and must still be addressed. If a HILOW is cancelled, and no new HILOW or other service order has been scheduled, the customer's issue has probably not yet been resolved. A pair of queries has been developed to identify these situations. The PA Escalations Group will be running these queries twice per week, and will be taking appropriate follow-up action to ensure that these issues are resolved within the 30 day timeframe.

In some cases, the Regional Support Group in Wilkes-Barre has already scheduled a new HILOW service order. These instances will not appear on the query output. Also, remember that when a HILOW service order is completed, a HIFLW contact type is generated in ART, and ART has the responsibility to follow up on the issue.

Generally, our follow-up activity will fall into the following major categories. Other situations will arise. In all cases, our goal is to ensure that the dispute has been correctly addressed within 30 days of its creation.

- a. The customer was not at home when the FSR attempted to work the HILOW service order. Even though the customer was not at home at the scheduled time of the service order, we remain responsible to resolve the dispute. In these instances, we will attempt to contact the customer by phone to schedule a new HILOW service order. Circumstances may have changed; for example, a customer may have located a leak which previously had gone unnoticed. In this case, they will not want us to schedule a HILOW, and we would document this information in the original U/C comments of the original contact, and note that the customer is satisfied with the resolution of the documented complaint. However, most of the time, a new HILOW will have to be scheduled. If the customer cannot be reached after 3 attempts, send a Utility Report to the customer. Document the dates and times of the attempts to reach the customer by phone in the U/C comments of the original contact.
- b. When the FSR attempted to complete the HILOW, it was found that additional work was required. For example, the customer may be enrolled in the service line protection program, and the FSR needed to, but could not, operate the curb stop. The HILOW is cancelled, waiting for the curb stop to be repaired. In this instance, we create a new CFLWP utility contact, and transfer it to the PAGRPESCAL bucket. We monitor the account for five days, and take appropriate follow-up action. Ideally, the curb stop will be repaired within a few days. In this case, we call the customer and schedule a new HILOW service order. If no activity on the account has occurred within the five days, we contact the Wilkes-Barre Regional Support group for follow-up. We keep the CFLWP contact open, and continue to monitor.

HILOW orders are cancelled for a variety of other reasons. In each case, we need to review all of the pertinent U/C and service order comments to understand why the order was cancelled, and to take appropriate follow-up actions. These will need to be addressed on a case-by-case basis.



Common Questions/Issues

Q1. What if we can't reach the customer by phone?

A. We should attempt to call the customer three times, preferably at different times of the day. If there is still no answer from the customer, we continue to have a responsibility to resolve the dispute. In this case, we must issue a Utility Company Report. We should also document the dates and times of the attempts in the U/C comments.

Q2. Why is the new group called the PA Escalations Group, as opposed to the PA Disputes Group?

A. We need to refer to the new group as the PA Escalations Group. The Account Resolution Team (ART) is commonly referred to as the "Disputes" group, and the bucket used by this group is DSPTFLWP. If the word "Disputes" is used in the new group, it creates confusion on the part of CSRs and others, leading to contacts being transferred to the wrong bucket.

Q3. Is the PA Escalations Group taking over work previously done by other groups?

A. No. It is not the intention to transfer work from an existing group to the PA Escalations Group. The group was initiated primarily to "close the gap" in the Pennsylvania process so that all customer issues are fully and properly addressed. By conducting a quality control check on utility contacts generated by CSRs, the PA Escalations Group is able to reduce or eliminate contacts from going to the Billing department in error. Similarly, by following up with billing and collection department decisions, customers will be informed of decisions and we will be able to document customer satisfaction or issue Utility Company Reports if the customer is not satisfied.

Q4. Does a Supervisor's limit of responsibility for charges include waiving a late charge, waiving a service charge, and courtesy adjustments?

A. Yes, **while not yet final**, Supervisors Limit of Responsibility is expected to include all of the following:

- Authority to waive late fees
- Authority to other fees, such as activation fees
- Authority to provide courtesy adjustments, up to \$250

Collections Items Not In Scope of Dispute Regulations

1. Customer dissatisfied with payment terms agreement – issue with catch up amount
2. Dispute of payment amount in collection notice
3. Customer dissatisfied with 24 – 72 hour turn on after non-pay
4. Customer cannot pay amount needed to stop termination, including catch up amount
5. Customer wants payment arrangement longer than 5 years
6. AW refuses to provide new payment agreement when there is no change in income or circumstance.
7. Customer refuses to provide Ability to Pay information





Floor Supervisor Process

This job aid is designed to provide Floor Supervisors with questions to ask themselves when determining the most appropriate course of action.

Situation		
Floor Supervisor receives a Utility Contact from a CSR regarding a dispute/issue. Customer has not expressed verbal satisfaction with resolution of the issue and/or follow up work is necessary in order to resolve the issue.		
QUESTIONS	IF YES	IF NO
Was the contact transferred incorrectly to the PAGRPESCAL bucket?	<ol style="list-style-type: none"> 1. Transfer the contact to the appropriate party/bucket. 2. Notify Team Supervisor for coaching. 	Go to next question.
Can the dispute be resolved by contacting the customer?	<ol style="list-style-type: none"> 1. Determine what is required to satisfy customer. 2. Call customer, attempt to resolve the dispute. 3. If customer is satisfied, take actions necessary to resolve issue. Document and close contact. 4. If customer is not satisfied, issue Utility Company Report and close contact. 	Go to next question
Should the dispute be resolved by an internal party?	<ol style="list-style-type: none"> 1. Update U/C comments if necessary. 2. Forward contact to either the Billing or 3. Forward contact to Collections or 4. Forward contact to ART 	Go to next question

Pennsylvania Escalation Group Process



Situation		
Floor Supervisor receives a Utility Contact from a CSR regarding a dispute/issue. Customer has not expressed verbal satisfaction with resolution of the issue and/or follow up work is necessary in order to resolve the issue.		
QUESTIONS	IF YES	IF NO
Was the contact transferred from Billing or Collections?	<ol style="list-style-type: none"> 1. Read and understand decision. 2. Contact customer; determine if customer is satisfied with the resolution of the issue. 3. If customer is satisfied, document and close contact. 4. If customer is not satisfied, send Utility Company Report and close contact. 	Go to next question.
Was the U/C contact transferred from the field?	<ol style="list-style-type: none"> 1. Read and understand the utility contact comments. 2. Follow instructions in comments. 3. Issue Utility Company Report. 	



Utility Company Report - UTLRPT

Whenever a customer initiates a dispute, we have 30 days to either satisfy the customer's concerns or send the customer a Utility Company Report. This report, (LGS letter), gives closure to the customer's issue and satisfies AW's requirements according to the Pennsylvania Regulations.

A Utility Company Report is a letter that is generated by either the ART Team, (Account Resolution Team) or the PA Escalations Group. They are written on company letterhead that outlines the following:

- The customer's complaint
- AW's findings
- AW's position
- Information to the customer regarding the dispute

Since no two issues are identical, each Utility Company Report is unique in its composition.

Utility Company Reports are issued:

1. In situations where a customer does not verbally indicate satisfaction and satisfaction will not be reached per AW guidelines, policy, or procedures. The letter is sent within 30 days from the initial contact.
2. In situations where a customer expresses verbal satisfaction with the resolution of the issue, but would like written documentation regarding the decision or results of the issue.

On the following pages, you will find examples of a blank Utility Company Report template and some possible verbiage that you can choose from. The templates aren't all inclusive however they cover most of what we will see on a daily basis. **A copy of the various statement examples is located on the S: drive>PA Escalations.**

Note: The most important part of the Utility Company Report is outlining the timeline that covers the customer's dispute. The start of the timeline is the date from the first call when the customer may have been only "inquiring" about the "issue".

(Company Full Name)

(Company Address 1), (Company Address 2), (Company City) (Company State) (Company Zip)
(Company Phone)

(Mailing Address Name)
(Mailing Address 1)
(Mailing Address 2)
(Mailing City) (Mailing State) (Mailing Zip)

(Letter Date)

Account Number: (Cmp Id)-(Account Number)-(Check 1
Premise Number: (Premise Number)
(Service Address 1)(Service Address 2)
(Service City) (Service State)

Utility Report

Transaction Date: (Variable Data)
Transaction Time: (Variable Data)
Caller Name: (Variable Data) CI Clerk: (Variable Data)

Complaint -

Findings -

Position -

Information To Customer -

* The amount currently outstanding on your account is \$(Amount Owed). Your account will become delinquent on (Variable Data) unless you enter into a payment or settlement agreement, or you file an informal complaint with the (Public Utility Commission). No further action will be taken on your account until after this date.

Service will not be terminated pending completion of the dispute process including informal and formal complaints so long as there is compliance with all requirements of the commission. If the ratepayer does not agree with the contents of this report, he/she may file an informal complaint with the (Public Utility Commission) within 10 days from the date appearing above. The informal complaint may be filed by telephoning the commission at toll free (Variable Data) or writing to (Variable Data), (Variable Data).

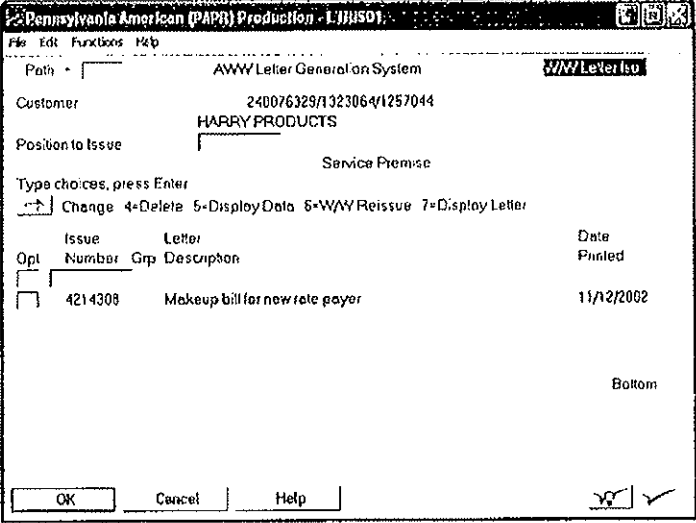
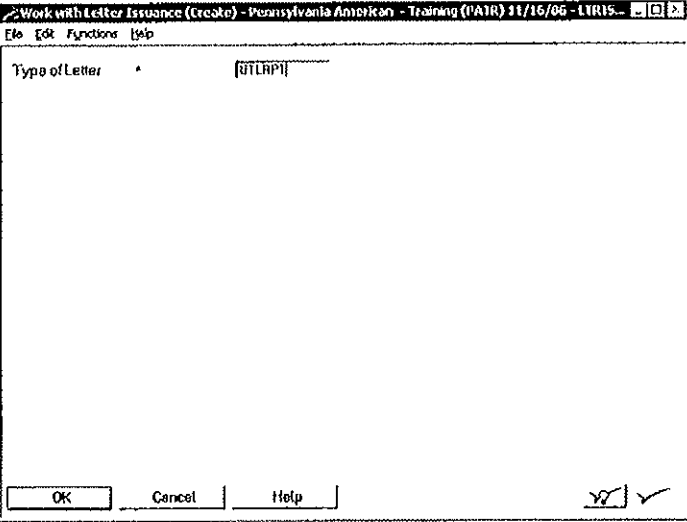
* Company report issued on (Variable Data) and sent to (Mailing Address Name).

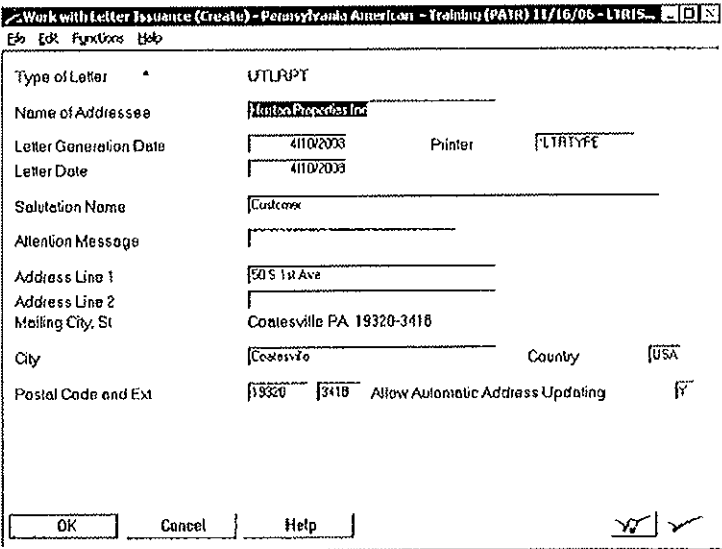
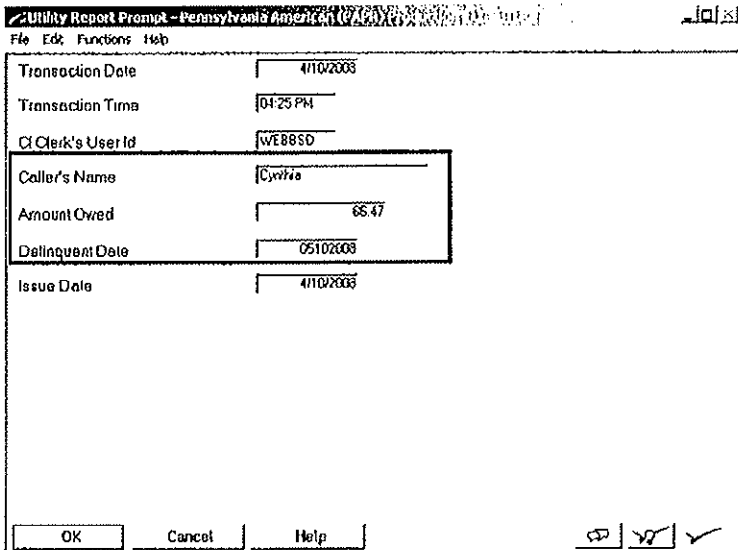
TMPNAME

00000001

UTLRPT Letters in LGS



Follow the steps below to create a UTLRPT from LGS.

Step	Description
1.	<p>Type LGS in the "Path" field.</p> <p>A list of all letters sent to the customer displays.</p> 
2.	<p>Press the F6 key to create a new letter.</p> <p>Enter UTLRPT in the "Type of Letter" field. Press Enter.</p> 

Step	Description
3.	<p>The following screen displays auto-generated information including the customer name and address. Update the customer's address if necessary. Click the OK button to confirm.</p> 
4.	<p>Fill out the following fields:</p> <ul style="list-style-type: none"> • Callers Name • Amount Owed • Delinquent Date (add 30 days to the issue date) 



Step	Description
5.	<p>Enter free form text in the body of the letter. (Use the sample's located in the S: drive>PA Escalations Folder).</p> <p>Note: These samples are not all inclusive. You may have to modify the contents to meet the specific needs of the situation.</p> <p style="text-align: center;">Pennsylvania American Water</p> <p style="text-align: center;">P.O. Box 578, Aton IL 62002 1-800-665-7292</p> <p style="text-align: center;">04/10/2008</p> <p>Larson, Cynthia 137 N Liberty St Hazareth PA 18064-1726</p> <p style="text-align: right;">Account Number 24-1681687-0 Premise Number: 240659289 137 N Liberty St Hazareth PA</p> <p style="text-align: center;">Utility Report</p> <p>Transaction Date: Thursday, April 10, 2008 Transaction Time: 04:25 PM Caller Name: Cynthia CI Clerk: WEBBSD</p> <p>Complaint -</p> <div style="border: 1px solid black; padding: 5px;"> <p>On April 8, 2008, PAWC was contacted with a request to review the billing statement covering February 28, 2008 through March 31, 2008 for the above referenced account. This bill was for 8,000 gallons of water in the amount of \$66.47. At the time of the request, a service order was issued.</p> </div> <p>Findings -</p> <div style="border: 1px solid black; padding: 5px;"> <p>which resulted in 3,000 gallons of water in the amount of \$32.43 for the billing period of February 28, 2008 through January 20, 2008.</p> <p>On March 4, 2008, PAWC obtained an estimated meter reading for billing purposes. The reading was 689, which resulted in 3,000 gallons of water in the amount of \$32.43 for the billing period of January 30, 2008 through February 28, 2008.</p> <p>On April 9, 2008, PAWC obtained an actual meter reading in response to the above request. The reading was 700. PAWC found movement on the meter. PAWC informed the above referenced account holder of these findings on April 9, 2008.</p> </div> <p>Position -</p> <div style="border: 1px solid black; padding: 5px;"> <p>According to the investigation completed on April 10, 2008, the billing statement covering February 28, 2008 through March 31, 2008 is correct as rendered.</p> </div> <p>If a leak has been identified and repaired at the above referenced property, please provide repair documentation to PO Box 578, Aton, IL 62002 for consideration of a one-time courtesy leak adjustment. Leak adjustments are calculated by establishing the customer's average water usage for the previous 12 months, and deducting 40% of the usage over the average amount.</p> <p>If you should have any further questions, please contact 1-800-665-7292 and a Customer Service Representative will assist you. Representatives are available 24 hours a day, 7 days a week.</p> <p>* The amount currently outstanding on your account is \$66.47. Your account will become delinquent on Saturday, May 10, 2008 unless you enter into a payment or settlement agreement, or you file an informal complaint with the Pennsylvania Public Utility Commission. No further action will be taken on your account until after this date.</p> <p>Service will not be terminated pending completion of the dispute process including informal and formal complaints so long as there is compliance with all requirements of the commission. If the ratepayer does not agree with the contents of this report, he/she may file an informal complaint with the Pennsylvania Public Utility Commission within 10 days from the date appearing above. The informal complaint may be filed by telephoning the commission at toll free 1-800-782-1110 or writing to P.O. Box 3265, Harrisburg, PA 17105-3265.</p> <p>* Company report issued on Thursday, April 10, 2008 and sent to Larson, Cynthia.</p> <p style="text-align: left;">UTL>PT</p> <p style="text-align: right;">021561293</p>

Step	Description
6.	<p>After completing the free form text, complete the following steps:</p> <ul style="list-style-type: none"> • Select the Preview button at the bottom of the page and review the letter • Select the Spell Check button to ensure there are no spelling errors • Select the Save button. 
7.	<p>Once the letter has been saved, the pop up box below will appear. Click OK.</p> 
8.	<p>The system returns you to the LTRIS01 screen, which displays the letter that was sent to the customer.</p> <p>To view the letter online, enter 7 in the "Opt" field and click the OK button. The letter will open in Microsoft Word.</p> <p>NOTES:</p> <ul style="list-style-type: none"> ▪ UTLRPT letters do not print from LGS automatically. <ul style="list-style-type: none"> ○ Print the letter manually on AM Water letterhead and insert it into an envelope to be mailed.

Letter Writing Tips

With all letter writing be sure to review the sample text while manually composing a letter. The sample test will save you time and help ensure a consistent message.

Readability

Creating a letter that will "get the point across" takes time. Proper grammar, spelling and punctuation work hand in hand to ensure your letter is understood. Below are some guidelines to help improve letter readability for our customers.

- Keep your letter brief, simple, short and right to the point.
- Use proper punctuation.



- Use spaces and paragraph breaks.
- Check your spelling.
- Avoid acronyms and abbreviations.
- Keep paragraphs short and concise.
- Re-read before clicking to save the letter.

Letter Opening Samples

Below are sample opening sentences when composing a letter.

- Thank you for your recent contact with American Water.
- Our records indicate you are requesting additional information from American Water.
- This letter is in regard to your recent inquiry with American Water.
- This letter is to acknowledge receipt of your recent request with American Water.

Other Sentence Samples

Below are some additional sentence samples when composing a letter.

- We hope this additional information is helpful.
- Enclosed please find the information you requested.
- Additional information is needed to complete your request.
- However, it will be necessary for you to contact the Customer Service Center, in order for us to complete your request.

Letter Closing Sample

Below is a sample closing sentence when completing a letter.

- If you should have further questions or concerns, please contact our Customer Service Center at the phone number or mailing address above.

Letter Writing Reference Guide

The Correspondence Department also contains a guide to assist with letter writing skills. The guide is available to use and reference.

Printing a Letter

When printing a letter from LGS copy and paste the content from Internet Explorer into Microsoft Word. This will prevent the "web address" and other headers from printing on the customers copy. Print any letter that is to be sent to a customer on letter head.

Appendix

The following is a list of scenarios that may arise and the department responsible to handle those disputes. This list is not fully comprehensive; situations may arise which are not covered by the examples below. However, the list is a guide to determine the responsible party to handle each type of dispute:

Billing Scenarios - Refer to Billing Department - BILLFLWUP

1. Billing Class correction – change account from residential to commercial – forward to BILLFLWUP
2. Leak adjustments
3. Usage adjustments
4. OFF order cancelled resulting in larger bill to customer.
5. Tenant moves out, doesn't pay bill, landlord must pay.
6. Back-bill dispute – customer disputes back-bill date
7. Back-bill – customer disputes usage
8. Incorrect bill – necessitating billing adjustment
9. Incorrect bill due to meter turnover or change out
10. Customer claims that meter is not present; will not pay if no meter.
11. OFF not worked timely. Meter read, bill sent in meantime. Waive service charge & final balance.
12. Turn on/off in error – adjustment needed
13. New service, no meter installed, back-billing needed after customer information is collected
14. Customer contends wrong meter read – high bill, correction needed
15. Account activation/deactivation date incorrect, resulting in need to adjust bill
16. Fixed charges are not billing properly or customer believes they are being billed for a service or surcharge in error.
17. Correcting account setup problems that will keep an account from billing (2 premises to 1 acct; activation on bad debt acct).
18. Customer claims not responsible for charges for a fixed period (landlord/tenant)

Collections scenarios - Refer to Collections - COLLFLWUP

1. Payment is in dispute (ex. payment made, not posted.)
2. One payment made for more than one account – transfer partial payment
3. Misapplied payments – payment credited to wrong account
4. Duplicate payments on-line
5. Issue refunds
6. Any transfer of funds from one account to another account.
7. Customer complaints regarding collection agencies
8. Customer has indicated a problem with the ARC program
9. Adjustment incorrectly charged, previously covered under bankruptcy
10. Lost payment
11. Disagreement between AW and customer about payment amount



Account Resolution Team Scenarios - Refer to ART - DSPFLWUP

1. Stuck meter/ resulting in back-bill (customer disputes amount of back-bill charges)
2. Meter testing – including follow-up when results received
3. High estimated bills
4. High bills after several estimated readings
5. Adjustments due to misreads – additional research and/or follow-up involved
6. Requests for leak adjustments – additional research and/or follow-up involved
7. Leak adjustments on PA bimonthly accounts (PA PUC 150% adjustment rule)
8. Additional investigation & research – ex. previous usage, meter readings, billing history, adjustment history, customer comments, service order results.
9. Accounts that have been handled by billing & customer is not satisfied.
10. HILOW service order generates HIFLW contact, which goes to ART for resolution.
11. Usage between seasonal off and seasonal off. Customer disputes usage.
12. Customer questioned change in service charge, one month to next. Adjustment needed. (Mid cycle bill)
13. Disagreement between AW and customer about the proper party to be charged

PA Escalations Group Scenarios – Contact Customer & Attempt to Resolve

1. Provide detailed explanation of billing charges for high bill complaint
2. Waive late fee (ex. customer in hospital)
3. Customer requests removal of service activation fee (ex. says not informed)
4. Customer contends wrong meter read – high bill, meter set up correct
5. Incorrect billing address results in a late fee
6. Connection charge asked to be waived due to incorrectly issued FORCE order.
7. Customer making a repeat call checking status of NSI – has not been contacted.
8. Turn on/off in error – removal of fees only
9. Courtesy adjustment within authorized limits
10. Explain refund status & details
11. Explanation of payments made in relation to collection notice – simple timing issue, payment date vs. notice date
12. Water turned off in error – removal of activation charge

UTLRPT Sample Statements

The following is a list of sample statements for each section of the UTLRPT. Select and edit the statements that pertain to the specific situation. Keep in mind that this list is not all inclusive.

Complaint –

Complaint Example 1: On (date) PAWC was contacted with a request to review the billing statement covering (date) to (date) for the above referenced account. This bill was for XX gallons of water in the amount of \$XX. At the time of the request, ? (a service order was issued, a leak kit was sent, you were advised of...)

Complaint Example 2: On (date) PAWC was contacted regarding the courtesy adjustment that was given on the above referenced account. The adjustment was calculated by (variable- depends on the issue/state define how the per day was calculated) or (The adjustment was calculated by your monthly average based on 12 months of usage).

Complaint Example 3: On (date) PAWC was contacted regarding a (previously under/over estimated bill, miss read) on the above referenced account

Complaint Example 4: On (date) PAWC was contacted and advised that the active account referenced above should have been closed as of (date). Please be advised that (state the regulation if there is one) any customer who is about to vacate any premises or who for any reason wishes to have service discontinued is required to supply notice to PAWC specifying the date on which the service should be discontinued. In the absence of notice, the customer is responsible for the utility service rendered until the time that the utility has been notified of the intent to discontinue service by the customer.

Complaint Example 5: This letter is in response the recent inquiry made regarding the rate change for the above reference account. On (date) Pennsylvania American Water filed a request with the Pennsylvania Public Utility commission (PUC) to approve changes in the company's rate structure.

Delivering quality water service requires continued investment to replace aging infrastructure and make the necessary system upgrades to meet drinking water standards. It has become necessary to repair and replace transmission mains, storage and treatment facilities, and other projects to protect public health and to ensure compliance with the Safe Drinking Water Act (SDWA). Rates are established based upon the actual cost of providing service and must be approved by the state regulatory agency prior to implementation.



Complaint Example 6: On (date) PAWC received a meter reading at the above referenced property for billing purposes. This resulted in (xx) gallons of water used. After an investigation, the company has verified that the reading was, in fact, correct.

Findings –

Findings Example 1: On (date) PAWC obtained an actual meter reading for billing purposes. The reading was XX, which resulted in XX gallons of water used in XX days.

Findings Example 2: On (date) PAWC obtained an actual meter reading in response to the above request. The reading was XX, which resulted in XX gallons of water used in XX days. At the time of this visit there was no leak detected by the PAWC representative.

Findings Example 3: On (date) PAWC obtained an actual meter reading in response to the above request. The reading was XX, which resulted in XX gallons of water used in XX days. At the time of this visit, there was movement on the meter which may be an indication of a leak. PAWC informed the above referenced account holder of these findings on (date of letter sent or notice left)

Findings Example 4: On (date) a service person was sent to the above referenced property to remove meter #XXXXXXX for testing. The results of that testing are as follows:

According to regulations set by the Pennsylvania Public Utility Commission, a meter is considered operating in a satisfactory manner if it records water usage between XX% and XXX% of actual usage. Therefore, this meter's registration is considered accurate.

Findings Example 5: On (date), PAWC sent a service person to the property to reread the meter and inspect for leaks. At the time of our visit, the meter read was X. This reading indicates XX gallons of water have been used since the reading on (date). The service person indicated that no one was available at the property for any further leak inspection. If you wish to schedule an additional appointment, please contact PAWC at XXX-XXX-XXX .

Findings Example 6: On (date), PAWC was unable to read the meter for billing. At that time, the account was billed with an estimated read of XX. This read estimates XX gallons of water were used for the period of (date) to (date). On (date) a field representative visited the property to obtain an actual meter reading in response to a request made. At the time of out visit the meter reading was XX, which indicates the account had previously been over estimated. A correction in the amount of \$XX was made on (date) which accounts for the over-estimation of XX gallons of water.

Findings Example 7: On (date) PAWC was contacted regarding a billing statement received for (services that had not previously been billed, discrepancy with meter readings, outside reading different than inside meter, stuck meter, consecutive zero bills, etc). According to our

records, the (water usage, service, sewer, etc. . .) billed on this statement, covers a period of (date) to (date) of services supplied in the amount of (usage and \$), but (had not been billed for or billed incorrectly) on previous statements. The amount of the credit/debit was determined by (rationale).

Position –

Position Example 1: According to the investigation completed on (date), the billing statement covering (date) to (date) is correct as rendered.

Position Example 2: The readings have been verified and no leak was detected at the time of our visit.

Position Example 3: The usage was billed according to the established (average usage on the new meter/calculated average) and the number of days that had not previously been billed.

Position Example 4: According to the investigation completed on (date), the adjustment applied on the account (date) is correct and no further adjustment is warranted at this time.

Position Example 5: The customer shall have full responsibility for the installation, repair, replacement and maintenance of all service pipes, including full responsibility for meter water usage attributable to a leak in the service pipe. If the leak was undetectable, the company shall credit the customer with a one time leak adjustment of one month's bill that exceeds the customer normal monthly average.

Information To Customer -

Information to Customer Example 1: If a leak has been identified and repaired at the above referenced property, please provide repair documentation to PO Box 578, Alton, IL 62002 for consideration of a one-time courtesy leak adjustment. Leak adjustments are calculated by establishing the customer's average water usage for the previous 12 months, and deducting 40% of the usage over the average amount.

Information to Customer Example 2: PAWC recommends checking commodes and sprinkler systems as this may be a source of sporadic usage. If the property is vacant, the PAWC recommends taking the necessary precautions to prevent possible theft of service.

Information to Customer Example 3: If you should have any further questions, please contact us at 1-800-565-7292 and a customer service representative will assist you. Representatives are available 24 hours a day 7 days a week.



Departmental Contacts: Contact these people if you have questions, issues, need instruction or advice.

Billing: Mara Maggos x4211
Collections: Jennifer Peterson x5306
Field: Mary Moniodes 724 654-4188 or
Joy Hughes 570 830-6561

Process for Escalation of Issues to Pennsylvania

1. If a customer is calling about a follow up to a field issue the second time, send an e-mail to SER – FRCC and copy Joy Hughes and Amy Wiedlich. If it is a restoration issue, send the e-mail to Joy Hughes and copy Amy Wiedlich. If it is something that requires follow up from the field (if the FSR checked follow up or office review after working a service order, or if the Regional Support group would get involved, e-mail SER – RSS and copy Joy Hughes. In all cases, copy **Mary Moniodes**. In the subject line of the e-mail include the words 'POTENTIAL DISPUTE'.

In the body of the e-mail, state that you need follow-up information in order to be able to contact the customer.
2. If the customer is calling for the third or more time, if the customer is irate, or if the situation requires immediate resolution, using the same criteria as above, call either Joy Hughes or Amy Wiedlich. Make sure that they understand the urgency of the issue and follow the phone conversation up with an e-mail and copy **Mary Moniodes**.

In the body of the e-mail, state that you need follow-up information in order to be able to contact the customer.

Process for Escalation of Issues to Billing – Special Accounts

1. If a customer is calling about a follow up to a sewer billing issue for more than a second time, or the customer is extremely upset, transfer the Utility Contact to SPACTFLWUP. They will contact the applicable sewer authority, obtain a response, document U/C comments, and place the contact in the PARTNBILL bucket. When forwarding the contact, always start the contact comments with PA ESCALATION – PRIORITY. Be very clear about the information that you need in order to call the customer back.
2. If the customer call is a lower priority, the CSR should be informing the customer that the issue is at the sewer authority (if stated), and that the authority should be getting back to them shortly.

Pennsylvania-American Water Company
Northeast Wastewater Operations
Data Requirements of the Pennsylvania Public Utility Commission
Quality of Service Distribution System Mapping

FR IX.5

**Pennsylvania-American Water Company
Northeast Wastewater Operations**

IX. Quality of Service

5. Indicate whether the Company is in compliance with 52 Pa. Code, § 65.4 (b) regarding complete and current mapping of the entire distribution or collection system.

Answer: Each District in Pennsylvania-American Water Company's operating areas maintain their current mapping in addition to a statewide set of mapping located in the Corporate Office located in Hershey Pa.

Pennsylvania-American Water Company
Northeast Wastewater Operations
Data Requirements of the Pennsylvania Public Utility Commission
Quality of Service Water Conservation

FR IX.6

**Pennsylvania-American Water Company
Northeast Wastewater Operations**

IX. Quality of Service

6. Provide a summary report demonstrating the Company's efforts in water conservation, since the last rate proceeding to 52 Pa. Code § 65.20.

Answer: Not applicable.

Pennsylvania-American Water Company
Northeast Wastewater Operations
Data Requirements of the Pennsylvania Public Utility Commission
Quality of Service Water Conservation

FR IX.7

**Pennsylvania-American Water Company
Northeast Wastewater Operations**

IX. Quality of Service

7. Provide a discussion of the Company's policy regarding meter requirements, replacements and testing. State if the Company procedures are in compliance with 52 Pa. Code, § 65.8 (b).
- a. Provide meter test records as required in 52 Pa. Code, § 65.8(c) for 50 meters most recently removed from service.
 - b. Provide a discussion of the Company's policy and history of compliance with 52 Pa. Code § 65.9 regarding adjustments of bills for meter error within the last year.

- Answer:** Pennsylvania-American Water Company strictly adheres to 52 Pa Code § 65.8(b) concerning this matter.
- a. See attached for the meter tests completed in 2008, 2009 and to date in 2010.
 - b. Pennsylvania-American Water Company adjusts meters that are found not in compliance to the meter testing rules and regulations under 52 Pa. Code § 65.9. By way of further answer adjustments are made in accordance to Chapter 65.9 (c) referencing non-registering meters.

106 DECKER ROAD
 BUSHKILL PA.
 18324

REPORT OF METER TEST

RATE	QUANTITY				RESULTS	
	Other	5/8"		Other		
5/8"		Gals.	Cu. Ft.	Gals.	Cu. Ft.	%
15		100				99.6
6		100				99.8
2		10				100
1/4		10				99.9

DATE OF TEST: 9-18-08

TESTED BY: R.L.G.

PARTS REQUIRED:

SPECIAL TEST

REMARKS:

SIZE	5/8"	<input checked="" type="checkbox"/>	1 1/2"	<input type="checkbox"/>	4"	<input type="checkbox"/>
	3/4"	<input type="checkbox"/>	2"	<input type="checkbox"/>	6"	<input type="checkbox"/>
	1"	<input type="checkbox"/>	3"	<input type="checkbox"/>	8"	<input type="checkbox"/>
MAKE	TRIDENT	<input type="checkbox"/>	ROCKWELL	<input type="checkbox"/>		
	BADGER	<input type="checkbox"/>	OTHER:			
	KENT	<input type="checkbox"/>	N			
TYPE	DISC	<input checked="" type="checkbox"/>	COMP.			
	CURRENT	<input type="checkbox"/>	FIRE LINE			
METER NUMBER	80184104					
DATE REMOVED						
METER READING	01750					
	CU. FT.	<input type="checkbox"/>	GALS.			
REASON FOR REMOVAL FROM SERVICE	STOPPED	<input type="checkbox"/>	COMPLAINT			
	FROZEN	<input type="checkbox"/>	TEST			
	LEAKING	<input type="checkbox"/>	SCRAP			
	NEW	<input type="checkbox"/>	RETURN			

PAWC
 PENNSYLVANIA-AMERICAN WATER
 COMPANY

DISTRICT

354 Wild Acres Dr.

DINGMAN'S FERRY
PENNA. 18328

REPORT OF METER TEST

RATE	QUANTITY				RESULTS	
	Other	5/8"		Other		
5/8"		Gals.	Cu. Ft.	Gals.	Cu. Ft.	%
15		100				100.1
6		100				100.3
2		10				100.1
1/4		10				99.9

DATE OF TEST: 1-5-09

TESTED BY: R.L.G.

PARTS REQUIRED:

SPECIAL
TEST

REMARKS:

SIZE	5/8" <input checked="" type="checkbox"/>	1 1/2" <input type="checkbox"/>	4" <input type="checkbox"/>
	3/4" <input type="checkbox"/>	2" <input type="checkbox"/>	6" <input type="checkbox"/>
	1" <input type="checkbox"/>	3" <input type="checkbox"/>	8" <input type="checkbox"/>
MAKE	TRIDENT <input type="checkbox"/>	ROCKWELL <input type="checkbox"/>	
	BADGER <input type="checkbox"/>	OTHER: <input type="checkbox"/>	
	KENT <input type="checkbox"/>	N <input type="checkbox"/>	
TYPE	DISC <input checked="" type="checkbox"/>	COMP. <input type="checkbox"/>	
	CURRENT <input type="checkbox"/>	FIRE LINE <input type="checkbox"/>	
METER NUMBER	79119503		
DATE REMOVED			
METER READING	04617		
	CU. FT. <input type="checkbox"/>	GALS. <input checked="" type="checkbox"/>	
REASON FOR REMOVAL FROM SERVICE	STOPPED <input type="checkbox"/>	COMPLAINT <input type="checkbox"/>	
	FROZEN <input type="checkbox"/>	TEST <input checked="" type="checkbox"/>	
	LEAKING <input type="checkbox"/>	SCRAP <input type="checkbox"/>	
	NEW <input type="checkbox"/>	RETURN <input type="checkbox"/>	

PAWC

PENNSYLVANIA-AMERICAN WATER
COMPANY

DISTRICT

1295 PINE RIDGE Rd
 Bush Kill PENNA
 18324

REPORT OF METER TEST

RATE	QUANTITY				RESULTS
	Other	5/8"		Other	
		Gals.	Cu. Ft.		
15		100			99.9
6		100			99.9
2		10			99.8
14		10			99.8

DATE OF TEST: 7-24-09

TESTED BY: R.L.G.

PARTS REQUIRED:
 SPECIAL
 TEST

REMARKS: PREMISE 240709826
 Account 1698295

SIZE	5/8" <input checked="" type="checkbox"/>	1 1/2" <input type="checkbox"/>	4" <input type="checkbox"/>
	3/4" <input type="checkbox"/>	2" <input type="checkbox"/>	6" <input type="checkbox"/>
	1" <input type="checkbox"/>	3" <input type="checkbox"/>	8" <input type="checkbox"/>
MAKE	TRIDENT <input type="checkbox"/>	ROCKWELL <input type="checkbox"/>	
	BADGER <input type="checkbox"/>	OTHER: N	
	KENT <input type="checkbox"/>		
TYPE	DISC <input checked="" type="checkbox"/>	COMP. <input type="checkbox"/>	
	CURRENT <input type="checkbox"/>	FIRE LINE <input type="checkbox"/>	
METER NUMBER	83652508		
DATE REMOVED			
METER READING	00675		
	CU. FT. <input type="checkbox"/>	GALS. <input checked="" type="checkbox"/>	
REASON FOR REMOVAL FROM SERVICE	STOPPED <input type="checkbox"/>	COMPLAINT <input type="checkbox"/>	
	FROZEN <input type="checkbox"/>	TEST <input checked="" type="checkbox"/>	
	LEAKING <input type="checkbox"/>	SCRAP <input type="checkbox"/>	
	NEW <input type="checkbox"/>	RETURN <input type="checkbox"/>	

PAWC

PENNSYLVANIA-AMERICAN WATER
 COMPANY

DISTRICT

168 SATURN DR.
BUSHKILL

ACCT # 240736239

REPORT OF METER TEST

RATE		QUANTITY				RESULTS
5/8"	Other	5/8"		Other		%
		Gals.	Cu. Ft.	Gals.	Cu. Ft.	
15		100				99.8
6		100				100.1
2		10				100
14		10				99.8

DATE OF TEST: 1-22-10

TESTED BY: R.L.G.

PARTS REQUIRED:
SPECIAL
TEST

REMARKS:

SIZE	5/8" <input checked="" type="checkbox"/>	1 1/2" <input type="checkbox"/>	4" <input type="checkbox"/>
	3/4" <input type="checkbox"/>	2" <input type="checkbox"/>	6" <input type="checkbox"/>
	1" <input type="checkbox"/>	3" <input type="checkbox"/>	8" <input type="checkbox"/>
MAKE	TRIDENT <input type="checkbox"/>	ROCKWELL <input type="checkbox"/>	
	BADGER <input type="checkbox"/>	OTHER: N	
	KENT <input type="checkbox"/>		
TYPE	DISC <input checked="" type="checkbox"/>	COMP. <input type="checkbox"/>	
	CURRENT <input type="checkbox"/>	FIRE LINE <input type="checkbox"/>	
METER NUMBER	87724241		
DATE REMOVED			
METER READING	00052		
	CU. FT. <input type="checkbox"/>	GALS. <input checked="" type="checkbox"/>	
REASON FOR REMOVAL FROM SERVICE	STOPPED <input type="checkbox"/>	COMPLAINT <input type="checkbox"/>	
	FROZEN <input type="checkbox"/>	TEST <input checked="" type="checkbox"/>	
	LEAKING <input type="checkbox"/>	SCRAP <input type="checkbox"/>	
	NEW <input type="checkbox"/>	RETURN <input type="checkbox"/>	

PAWC

PENNSYLVANIA-AMERICAN WATER COMPANY

DISTRICT

Retrieved back
1/26/10