

# Service Monitoring and Enforcement

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# Monitoring Utility Activity

- PUCO Call Center
- Customer Service Audits
- Tracking Consumer Contact Data
- Facility Inspections

# SMED Overview

- There are four divisions within the Service Monitoring and Enforcement Department (SMED)
  - Customer Education and Contact Division (CECD)
  - Investigation and Audit Division (IAD)
  - Facility and Operations Field Division (FOFD)
  - Reliability and Services Analysis Division (RSAD)

# Customer Education and Contact Division (CECD)

- The purpose of CECD is to offer exceptional customer service, upon initial contact, by educating customers on utility regulations and informing them of their rights consumers, all while assisting them with utility issues
- Includes division chief, call center supervisor, training supervisor, 9 intake staff, and management analyst
- Works on the consumer hotline 6.5 hours each day and processes incoming written complaints



# Investigation and Audit Division (IAD)

- The purpose of IAD is to provide superior assistance to Ohio utility consumers by educating citizens, mediating disputes, auditing regulated companies, and influencing public policy to assure fair treatment and access to regulated services
- Includes division chief, 4 industry supervisors, 15 investigators
- Investigators are on the hotline 2.5 – 4 hours each day and work the informal complaints we receive
- Also responsible for completing customer service audits for regulated companies



# Call Center

Calls into the PUCO are classified in two categories

- Educational Reference
- Investigation

# Educational Reference

- Educate the consumers on their rights and responsibilities and any applicable Commission rules
- Answer general questions
- Resolve simple concerns
- Direct the consumer to the company if the consumer has not already contacted the utility
- Case is closed at the conclusion of the call

# Investigation

- More involved complaint / issue
- Agent will ask probing questions to gather as much information as possible on the call
- After the call, Staff will contact the company for response to the complaint
- Staff will research the issue to gather applicable rules and policies
- Staff will attempt to mediate the dispute



# Nature of Complaints

- Disconnections
- Billing disputes
- Establishing new service
- Service interruptions and service problems
- Financial assistance (inquiring about assistance programs)
- Energy choice



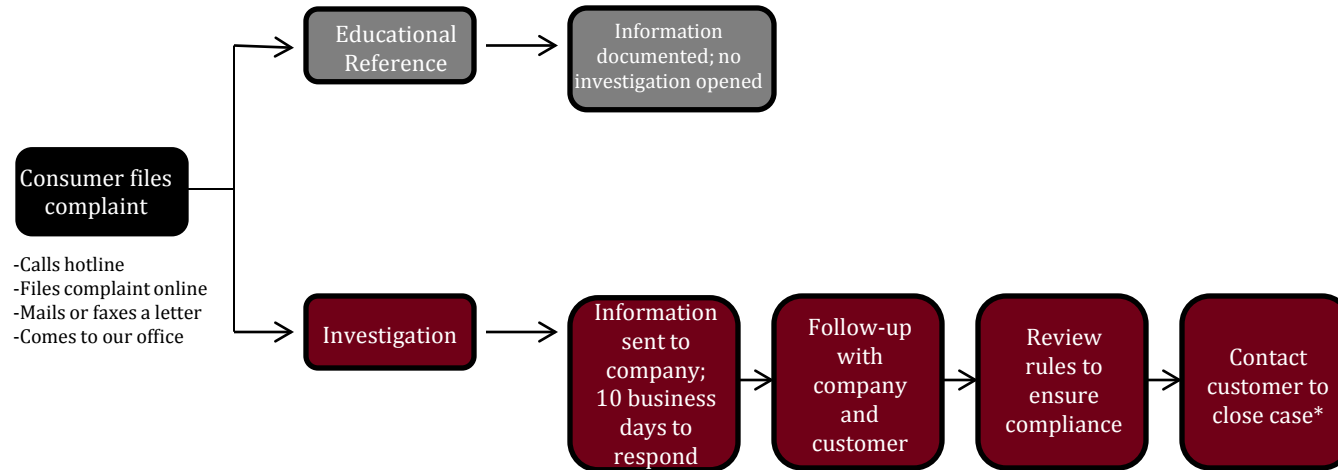
# Call Center Statistics

- CECD and IAD make up the call center
- Customers can contact us by calling our consumer hotline, email, letter, fax, or they can come directly to our office in Columbus as a “walk-in” customer
- Approximately 13,000 investigations were completed throughout 2014
- Staff saved customers more than \$680,000

## 2014 Stats

Contact Type	Quantity
Hotline Calls	69,000
Emails	7,148
Letters	142
Faxes	25
Walk-In Customers	32

# Informal Complaint Process



\*If customer disputes findings, formal complaint paperwork will be sent

# Agent Training



- New hires are trained for 4 weeks, which consists of:
  - 2 weeks of industry training
  - CMS training
  - Phone and system training
  - Shadowing / working with a mentor

# Agent Training

- Ongoing training occurs at staff meetings to discuss various topics:
  - Updates to rules in OAC
  - Customer service
  - Current events
  - New phone system
  - Training from industry experts
  - “Refresher” training



# Performance Metrics



- Call monitoring
- Call statistics
- Pending activities
- Case management grading

# Customer Service Audits

- Audits conducted by Investigations and Audits Division every 18 months for each company
- Onsite Monitoring of Customer Service Reps
- Audit report of results

# Reliability and Services Analysis Division (RSAD)

- The purpose of RSAD is to develop and enforce service reliability and consumer protection policies and rules for gas, water, electric, and telephone services





# Tracking Consumer Contact Data

Monthly Review of all “Contacts”  
to PUCO to quickly identify  
problems or negative trends

# Monthly Review of Contacts

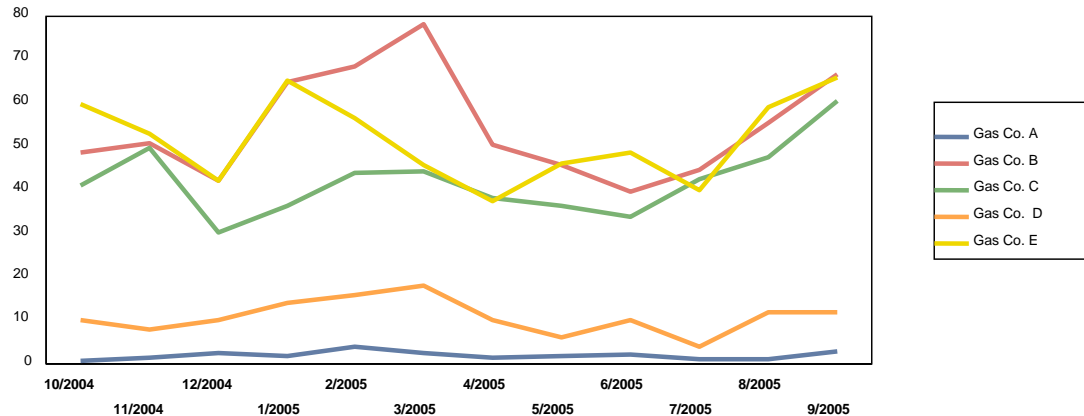
- Includes phone calls, e-mails, and letters from consumers
- Data is entered into a central database
- Each contact is coded with company name and customer's concern
- Reports are generated from database

# Reports

- Normalized customer contacts for all large gas companies for 12 months
- Normalized customer contacts by code (concern)
- Individual company contacts by code (concern)

# Comparison of Gas Companies (all contacts)

Customer Contacts By Company Across All Codes  
(Contacts Per 100,000 Customers)



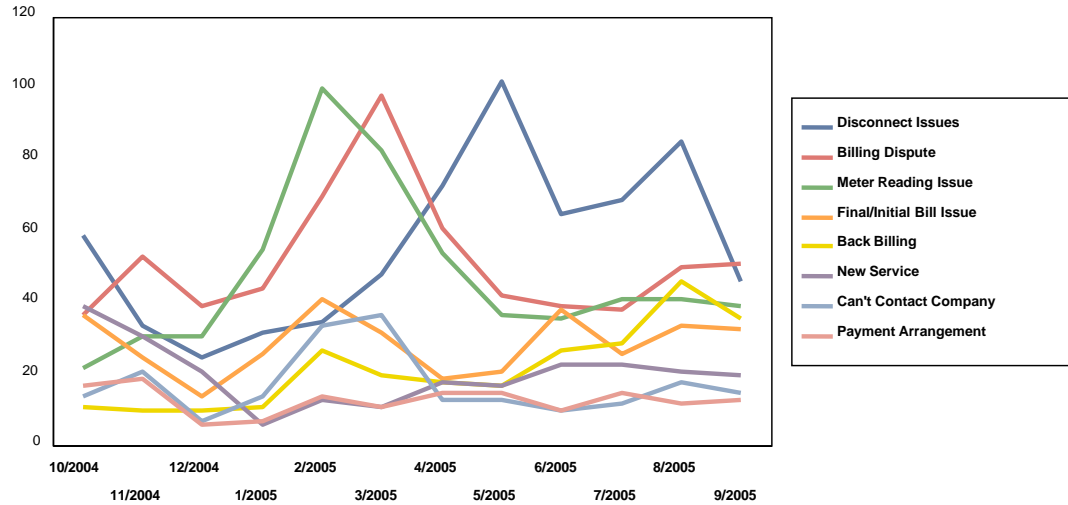
## Customer Contacts by Company (Normalized)

	Gas Co. A	Gas Co. B	Gas Co. C	Gas Co. D	Gas Co. D
Disconnect Issues	.6	10.6	4.0	2.0	6.1
Billing Dispute	.6	3.3	4.4	4.0	4.8
Meter Reading Issue	.2	2.6	3.4	0.0	3.0
Backbilling	.3	2.2	3.1	2.0	.9
New Service	0.0	1.9	2.8	0.0	3.9

# Individual Company Chart

Customer Contacts By Code

Gas Co. "A"



# Facility and Operations Field Division (FOFD)

- The purpose of FOFD is to regularly inspect utility facilities and review plant operating practices to ensure regulated utility service providers deliver safe, reliable, and quality service
- Perform on-site inspections and audit company records
- Participate in alternative rate case proceedings and recommend changes to company policies to improve utility service



# Field Inspections

- Gas Pipeline Safety (Partnership with USDOT)
- Electric Safety and Reliability
- Telephone Service Quality
- Water and Wastewater Facilities



# Field Inspection Duties

- Routine Inspections
- Incident Investigations
- Complaint/Inquiries
- Enforcement of Corrective Action Plans

# Enforcement Action

Enforcement action can be initiated by:

- Company Audits
- Individual Complaints
- Monthly Contact Analysis
- Field Inspections

# Enforcement Options

- Work with the company informally
- Send company an enforcement letter
- Direct the company to issue customer credits or refunds
- Direct the company to pay forfeitures (fines)
- Request a “Commission Ordered Investigation”

# Questions