



## ATTACHMENT D (REVISED)

### **Customer Service Guidelines to Handle & Resolve Customer Complaints – Illinois**

All complaints must be investigated and resolved within 14 calendar days.

Contact for all complaints:  
Nancy Williams  
Director, Customer Care  
312.488.5194  
nwilliams@aepenergy.com

#### **Verbal Complaints via Customer Care**

AEP Energy, Inc. attempts to resolve any complaint with the customer on the phone, live chat, emails or internet inquiries or complaints when received. All conversations with the customer are logged into the corresponding customer record, where they are automatically date and time stamped. The customer service representative notifies the customer when to expect a call back with an update and/ or resolution for any issue that cannot be resolved within the same business day. For issues that cannot be resolved using this process, the customer service representative notifies their supervisor of the issue, and logs in the customer record that the supervisor has been notified. The supervisor researches and addresses the issue with the customer within one business day. We will also inform the customer of their ability to request and obtain the response in writing.

Should the customer be dissatisfied with our response to a complaint, we inform them of their right to file a complaint with the Commission and the Office of the Illinois Attorney General and provide contact information for the Consumer Services Division (CSD), (phone) 1.800.524.0795, (email) [consumer@icc.illinois.gov](mailto:consumer@icc.illinois.gov), (mail) 527 E. Capitol Ave., Springfield, IL 62701.

While the dispute is pending, the customer shall pay the undisputed portion of the bill or an amount equal to last year's bill at the same location for the same period, normalized for weather, whichever is greater. Any disputed amount in excess of last year's bill for the same address adjusted for weather shall not be included in the amount that must be paid by the due date.

If for any reason the customer cannot be reached within 5 business days, the Director of Customer Care sends written notification to the customer addressing the customer's concerns. Comments are entered in the customer's record and are automatically date and time stamped.

**Written Complaints**

All written Illinois Commerce Commission or Attorney General customer complaints are dated and stamped upon receipt. All complaints are logged into the corresponding customer record, where they are automatically dated and time stamped. The complaint is also recorded in a tracker which includes: name, address, time of day and date received, nature of complaint, result of investigation, who conducted, final disposition and date.

The resolution is forwarded to the customer within 5 days of receipt. A copy of the resolution is also sent to all parties notified of the complaint. Copies of any substantiating documents, when related to the complaint, are also included. All attempts are made to find a resolution. Should the customer not be satisfied with the resolution, the customer’s comments are entered in the customer record and automatically dated and time stamped and the customer is informed of their right to file an informal complaint with the Commission. Contact information is provided.

**Illinois Customer Complaint Procedure Chart**

<b>Step</b>	<b>Action</b>	<b>Owner</b>
1	AEP Energy Customer Care makes all attempts to resolve the customer issue once received.	Customer Care Rep
2	The issue and customer conversation is notated in the appropriate system. Should the issue not be resolved, it is escalated to a supervisor/manager.	Customer Care Rep
3	Once the issue is given to the leader, the customer is contacted to gain resolution. At this time we also inform the customer of their ability to obtain a response in writing. Customer contact and conversation is notated in the appropriate system.	Customer Care Manager/Leader
4	If the customer issue is resolved to their satisfaction, the resolution and follow up is notated in the appropriate system.	Customer Care Manager/Leader
5	Should the customer be dissatisfied with the	Customer Care Manager/Leader

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**QA/Compliance Department Summary**

- The QA/Compliance Department was formed to implement and oversee compliance and quality assurance processes for the OCC (Small Commercial), Door to Door, and Residential call center vendors to ensure regulatory compliance and quality performance for all customer facing sales activities representing AEP Energy retail electric and natural gas supply to small business and residential customers. A set of process standards was created to ensure appropriate steps are followed.
- The department consists of the Vice President of Quality, one Manager and three QA Specialists who will be tasked with analyzing, evaluating, training and

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monitoring sales and customer service agents to ensure compliance and performance to AEP Energy standards. The Manager will partner with the Regulatory/Legal team to ensure full compliance across all channels by monitoring, documenting, and reporting compliance activities regularly to Regulatory/Legal. In addition the Manager will maintain Audit Plans for each channel and ensure QA activities meet the guidelines of the Audit Plans on an on-going basis.

Activities of the QA/Compliance Department include:

- Maintain good understanding of state PUC requirements as they apply to each channel.
- Monitor sales activities (calls, door knocks) and TPV for compliance, script adherence, performance issues, and sales effectiveness.
- Review sales and TPV calls daily to ensure compliance.
- Hold regular call monitoring sessions with each vendor to ensure compliance and calibration.
- Document all monitoring/ call evaluation and create weekly trend reports for vendors to ensure compliance, identify areas for improvement with focus on sales effectiveness, and assist in vendor agent development.
- Maintain agent rosters and documentation.
- Maintain all process documentation and training materials