



Customer Service & Claims

Escalation & Compliance Procedures Handbook

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Overview



Section I. Escalations

What is an Escalation?

An escalation occurs when a customer or contractor or another individual registers a complaint about an unsatisfactory issue with AWR.

Escalations result from two kinds of complaints:

- **Non-Regulated Complaints**, which occur when a complaint comes directly from a private source such as
 - A Customer
 - A Private Attorney
 - A Water Company
 - A Media Representative
- **Regulated Complaints**, which occur when the complaint has been routed through government or regulatory agencies such as
 - A Public Utility Commission (PUC)
 - The Better Business Bureau
 - An Attorney General
 - A Director of Insurance
 - A Municipal Office
 - A State Office

AWR has specific steps for responding to escalation notices received from each of these sources.

Respond to an Escalation

Each chapter of this handbook outlines AWR recommended and approved steps for resolving escalations from each of these sources. Simply look up the appropriate circumstance and follow the listed steps to resolve any escalation.



Handle an Escalation from a State Office Complaint

State Office complaints are normally received by the Water Company. The Water Company notifies AWR via email, telephone, or mail of the State Representative's complaint, and request information regarding AWR's involvement.

To handle an escalation from a state office complaint,

1. In Current,
 - A. On the **Find Person** tab, look up the customer. The Person screen for the customer displays.
 - B. Select the **Contact Log** tab.
 - C. Click [**Add Contact Log**]. The New Contact Log screen displays.
 - D. Enter a note indicating that the customer's account now has an escalated issue and click [**Save**].
 - E. *If it is a claim escalation,*
 - i. Select the **Claims** tab.
 - ii. Select the claim in escalation and click [**Open Claim**]. The Claim screen displays.
 - iii. In the **Summary** field, enter **ESCALATED CLAIM - Please forward all inquiries to the ESCALATION & COMPLIANCE COORDINATOR.**
 - iv. Click [**Save**].
 - F. *If the account is in an affiliated state,*
 - i. Open the account in Orcom.
 - ii. In the **Comment Lines**, enter **ESCALATED CLAIM - Please forward all inquiries to the ESCALATION & COMPLIANCE COORDINATOR.**



All phone calls and correspondence concerning an escalation should be forwarded to the AWR Escalation & Compliance Coordinator.

Once a claim has been escalated, the claim file is relocated to the Escalation & Compliance Coordinator's desk.

2. Investigate the state office complaint:
 - A. Check the customer's account in Orcom for relevant comments, if the complaint is from an affiliated state.
 - B. Check the customer's account in Current for relevant comments.
 - C. Print the Report Runner report to check any additional information applying to the complaint, including AWR's recommendations for resolving the issue.
 - D. Open the Investigation Check-off form (located in <S:\WLPP\Claims Manager and Supervisor\Claims Manager\Escalation and Compliance\Escalation and Compliance Administrative\Faxes, Forms and Letters\Forms\Investigation Check Off List.doc>)
 - i. Click **File – Save as** The Save As screen displays.



- ii. In the **Save in** box, navigate to [S:\WLPP\Claims Manager and Supervisor\Claims Manager\Escalation and Compliance\Escalation and Compliance Administrative\Faxes, Forms and Letters](#) -- make sure you place the document in the correct state folder.
 - iii. In the **File Name** box, enter the name of the customer.
 - iv. Click [**Save**]. A new copy of the template letter that you can now type in is saved.
 - v. Fill out the Check-off form with the information you obtained in your research
 - vi. *If necessary*, attach a copy of the Terms and Conditions relating to the complaint (located in the [S:\WLPP\Claims Manager and Supervisor\Contractor Supervisor\Contractor Resources\Terms and Conditions Electronic](#))
3. Scan:
- The complaint from the state office representative
 - All attachments
 - All investigation documents
- and store the scanned files in [S:\WLPP\Claims Manager and Supervisor\Claims Manager\Escalation and Compliance\Escalation and Compliance Administrative\Faxes, Forms and Letters](#).



Make sure you place the document files in the correct state folder and provide all state-specific records.

4. Discuss with the Claims Manager any possible resolutions to the inquiry or complaint.
5. Reply to the State Office Representative with the results of the investigation and a suggested resolution.
6. Email all investigation documentation and correspondence associated with the complaint to
 - Compliance Manager Patrick Wodack
 - AWR Corporate Counsels Mark McDonough and Colleen Garrity
7. Locate the Daily Tracking Log on the clipboard on the Escalation & Compliance Coordinator's desk and enter the complaint details.
8. In Current,
 - A. On the **Find Person** tab, look up the customer. The Person screen for the customer displays.
 - B. Click [**Add Contact Log**]. The New Contact Log screen displays.
 - C. Fill out the new contact log to indicate only that the complaint has been received and responded to. *Do not include details and specifics -- the system currently does not provide appropriate security to ensure the confidentiality of the information!*



9. In the Manual Claim file folder (red folder) for the complaint, place:
 - The hard copy of the original state office complaint form
 - The completed Investigation Check-off form
 - All attachments
 - All investigation documents
 - The original claim file
 - All manual documents associated with the complaint
10. Create a Placeholder (or “dummy”) folder that indicates the complaint has been escalated and the file is currently stored in the Escalation & Complaints Coordinator’s area (see the Placeholder (“Dummy”) File Escalation Claim sheet in Appendix B).
11. File the Placeholder in either the Open Claim files or the Closed claim files, depending on the claim’s status.
12. File the Manual Claim folder in the Escalation & Complaints Coordinator’s area.



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