

Chapter 5a

Key outputs

DG7 Response to written complaints

Complaints data for the
Consumer Council for
Northern Ireland

Chapter 5a

Customer Complaints

Guidance

Written complaints should be reported in total and against one of five broad categories as listed below:

- Charging and billing issues;
- Water service issues;
- Sewerage service issues;
- Metering issues; and
- Other service issues or activities.

A list of what complaint type should be allocated to which category is set out at the end of this guidance. This list was updated following the discussions held by Water UK in early 2007.

We ask the company to provide the numbers of billing and charging written complaints for metered and unmetered customers in its written commentary to the Table 5a data.

Second stage review: This is defined as a second complaint from a customer relating to the same issue that, in accordance with the company's approved complaints procedure, is reviewed by a person or persons not involved in providing the response to the customer's first complaint.

For reporting consistency, if the company's complaint procedure does not automatically escalate the second complaint letter, the total number of second written contacts from the same customer over the same issue under each of the 5 main categories should be included in the company commentary.

The company may operate a three stage complaints procedure. For the avoidance of doubt only complaints that reach the second stage of the company's complaints procedure are to be included in lines 5, 7, 9, 11 and 13. Complaint numbers that enter the third stage of the company's procedure should be reported in the accompanying commentary.

The company, depending on the nature of the complaint, may require a senior manager rather than a customer service agent or equivalent to address the complainant's concerns when the complaint is first received, e.g. an allegation of gross misconduct by a company employee. In such circumstances the complaint should be classed as being at the first stage of the company's complaints procedure. If the customer remains unhappy and follows up the initial complaint then this second letter is to be classed as being at the second stage review.

The flowchart below gives an outline of the initial receipt of a written complaint to the second stage review.

The company should provide confirmation that, following the Reporters recommendations for 2010-11, it has enacted the necessary systems to enable the reporting of second stage complaints for the entire reporting year. **Deletion**

Other Customer Response Measures: **Deletion**

Within the PC10 Final Determination, stakeholders agreed to introduce other meaningful customer response measures. These included the following:

- Number and frequency of repeat complaints;
- Number and frequency of holding responses; and
- Number and frequency of sewer blockage clearance which exceeds 24 hours (captured in Table 16).

The guidance does not introduce a repeat complaints line. *Deletion.* Repeat complaints and their definitions are currently being considered by the CM/SAT PC15 working group. Findings from this group may be incorporated into future Annual Information Returns.

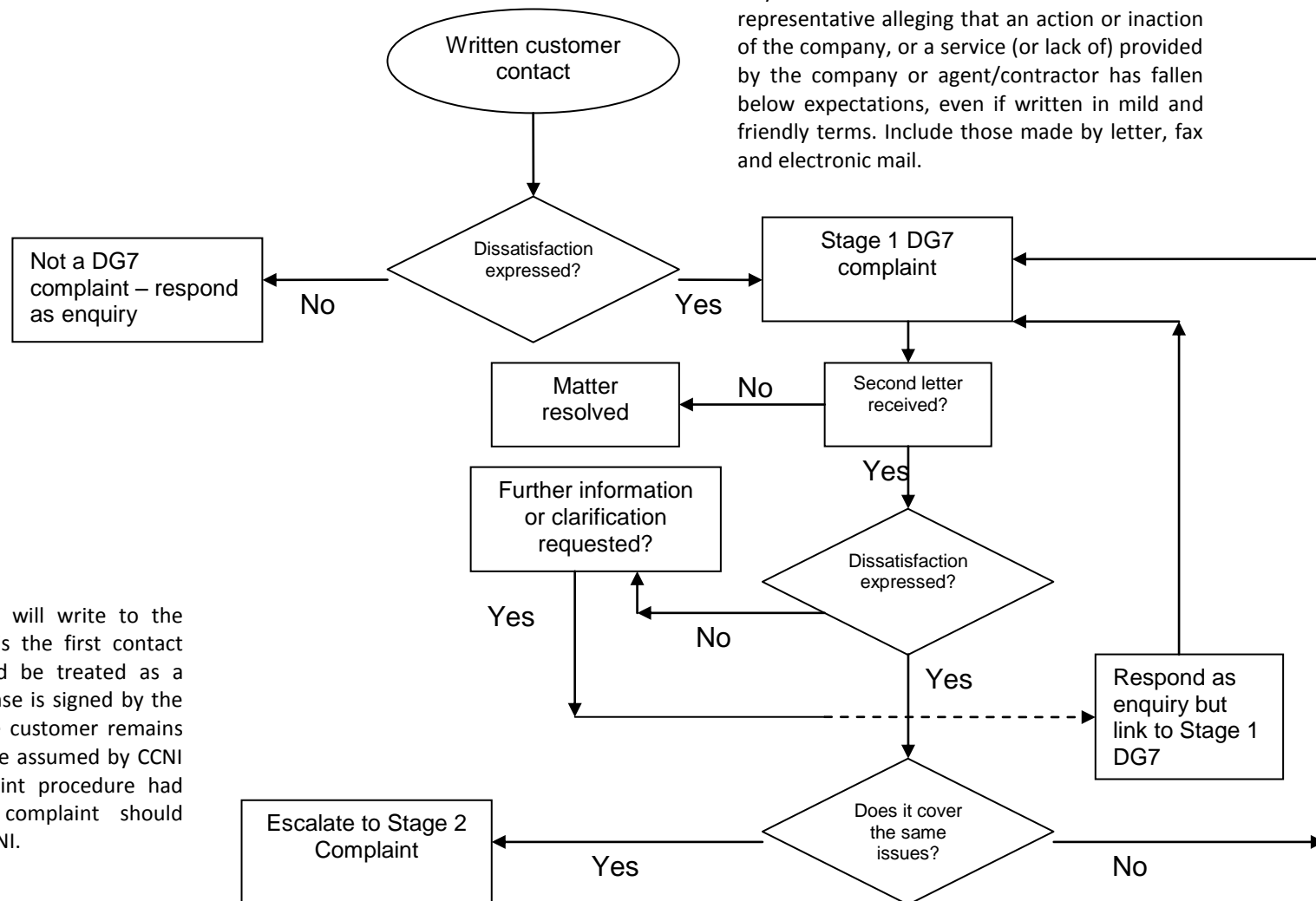
The company should detail in Line 14 the number of holding responses issued to written complaints in the report year. Detail should be provided in the commentary on the methodologies adopted by the company with respect to holding responses. Line 15 reports the number of complaints (written or otherwise) which have been escalated to Consumer Council investigation in the report year. NI Water should include any commentary on the numbers as it considers appropriate.

Data on sewer blockage clearance is captured in Table 16.

Complaint Handling DG7

Section 2 Chapter 5a

Any written communication from a customer or representative alleging that an action or inaction of the company, or a service (or lack of) provided by the company or agent/contractor has fallen below expectations, even if written in mild and friendly terms. Include those made by letter, fax and electronic mail.



In some cases, customers will write to the Managing Director. If it is the first contact then the complaint should be treated as a Stage 1 DG7. If the response is signed by the Managing Director and the customer remains dissatisfied then it would be assumed by CCNI that the company complaint procedure had been exhausted. The complaint should therefore be referred to CCNI.

ANNUAL INFORMATION RETURN REPORTING REQUIREMENTS 2007

Chapter 5a - Guidance to Reporters

The Reporter should:

- Confirm or otherwise that all methods used by the company are as the company has described.
- Confirm whether the company has disclosed all assumptions.
- Confirm whether the confidence grades assigned by the company reflect the methods it applies.
- Comment on the methods used by the company, and in particular:
 - Whether the company's allocation of complaints to the five complaint categories conforms to: the list of complaint types listed in the guidance (note that there is no requirement for individual company complaint descriptors to exactly match those in the guidance. However, they should be broadly consistent, and it should be apparent into which of the five complaint categories they fall).
 - whether the company's system of tracking customer complaints from initial receipt to second stage review (and beyond):
 - is robust;
 - conforms to the guidance;
 - conforms to the company's complaints procedure; and
 - is consistent with the produced flowchart.
- Describe in detail the checks that the Reporter has carried out in order to be able to confirm and comment on each of the points set out above. The Reporter should include, for example, how any samples for audit have been selected from the full population; quantity sampled; robustness of sample; materiality of assumptions and any weaknesses; discussions held with company staff.

Complaint type and category

Reference	Complaint type
Line 4	Charging and Billing
Unmeasured bills	Increase in charges Disputed liability Billing error - underpayment Billing error - overpayment Payment methods – cash, cheque, direct debit etc Payment arrangements – annual, half yearly, monthly etc Payment facilities – Paypoint, local authority offices Tariff structure – balance between standing and variable charge Standing charges - level Use of uniform charges Use of rateable value for charging purposes Size of customer's rateable value (outside CCNI jurisdiction) Assessed charge where a meter cannot be fitted Failure to receive payment book/bills/reminder Incorrect account info/failure to register customer details
Measured bills	Disputed liability Billing error - underpayment Billing error - overpayment Payment methods – cash, cheque, direct debit etc Payment arrangements – annual, half yearly, quarterly, monthly Payment facilities – direct debit, Paypoint etc Leakage allowance - entitlement to/amount of Non return to sewer allowance - entitlement to/amount of Tariff structure – balance between standing and variable charge Standing charges - level Volumetric Charges - level Highway Drainage Charge Surface Area Charges Surface water drainage charge Meter reading frequency Estimated bills – too high a reading Estimated bills – company rarely take an actual reading Disputed meter reading Recalculation of direct debit schedule Reversion to unmeasured charging (following meter installation) Failure to receive payment book/bills/reminder

	Incorrect account info/failure to register customer details
Debt Recovery	Debt Recovery Timetable
	Reminder notice
	Final notice
	Debt Collection Agency – use of
	Debt Collection Agency - attitude
	Judgements, including enforcement action
	Pre-disconnection contact - lack/quality of contact
	Legal fees
	Lack of advice/information to customers
Disconnection	Disconnection – adequate notification
	Disconnection – on the day arrangements
	Conditions imposed to reconnect the supply
	Disconnection/reconnection fees
Infrastructure	Infrastructure charges : Policy
Charges	Infrastructure charges : Amount
	Infrastructure charges : Disputed application
	Infrastructure charges : Other
Vulnerable Groups	Vulnerable customers: Policy
	Vulnerable customers: Eligibility
	Vulnerable customers: Level of charge
	Vulnerable customers: Administration of scheme
	Vulnerable customers: Other

Line 6	Water Service
Restrictions	Hosepipe ban – general
	Hosepipe ban – inconsistency in application
	Drought orders
Interruptions to supply	Failure to notify of planned supply interruption
	Failure to restore by time specified
	Failure to provide alternative supply
	Failure to keep customers informed
	Inconvenience caused by supply interruption
	Damage and disruption caused by water from burst main/pipe
Maintenance	Replacement of lead / rusted pipes
	Disputed liability for repair to particular mains/pipes
	Disputed liability for repair to mains/pipes - general
	Disputed costs of repair to mains / pipes
	Damage and disruption during construction/repair of mains/pipe
	Supply Pipe Repair Schemes
	Leakage - failure/delay in repair of main/pipe
	Delay/Inadequate reinstatement by Company
	Ingress/Flooding from unknown source
Water Pressure	High pressure/Pressure Surge
	Low Pressure - Daily Problem
	Low Pressure - Seasonal Peak Problem
	Low Pressure - Intermittent/Irregular Occurrence
	Other pressure problem
Water Quality	Taste
	Water odour
	Boil water notice/do not use notice/do not drink notice
	Hard Water
	Change of water
	'Animals' in water, e.g. asellus
	Brown Water Discolouration/Appearance
	Other Water Discolouration/Appearance
	Other water quality complaint
Miscellaneous	Other problem associated with water treatment works
	Environmental nuisance from treatment works (water)

Line 8	Sewerage Service
Sewer Flooding	Sewer Flooding - Internal Only
	Sewer Flooding - External Only
	Sewer Flooding internal and external
Maintenance	Disputed liability for repair to particular sewers/drains
	Disputed liability for repair to sewers/drains/general
	Disputed costs of repair to sewers / drains
	Delay in repair to sewers / drains
	Damage & disruption during construction/repair sewers/drains
	New sewers / connections
Miscellaneous	Other problem relating to sewage treatment works
	Environmental nuisance from treatment works (sewage)
	Odours from sewers
	Rat infestation of sewers

Line 10	Metering
Policy	Application of metering policy
	Compulsory metering of new properties
	Compulsory metering of existing properties – change of occupier
	Compulsory metering of existing properties – targeted
	Information to customers on how to apply for a meter
Installation	Installation policy
	Installation cost (incl. co option and unavoidable DIY costs)
	Time taken to install meter by company
	Location of meter
	Quality of meter installation work by the company
Miscellaneous	Access/Maintenance/Replacement
	Accuracy
	Testing

Line 12	Other service issues or activities
Appointments	Failure to specify timed appointment (2hr window)
	Missed appointments by company representatives
Complaints	Failure to inform customer of company complaints procedure
	Failure to respond to query/complaint by phone or in writing
	Failure to make/inadequacy of ex-gratia payment
Administration	Other failure or delay in administration
	Attitude / behaviour of company staff
	Inability to contact appropriate company staff
	Poor advice from company
Telephony	Use of recorded messages
	Use of message management system
	Other complaint about company telephone system
Miscellaneous	Inadequate notice given by company
	Operation of published Company Charter (non statutory)
	Literature: Publications - contents of, cost & distribution

Chapter 5a Line definitions

1	Total written complaints	nr	Odp
Definition	DG7: Response to written complaints; total - Total number of written complaints received by company		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Copied: table 5 line 1		
Responsibility	Comparative Efficiency & Performance Team		

2	Number dealt with within 10 working days	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints dealt with within ten working days.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Copied: table 5 line 2		
Responsibility	Comparative Efficiency & Performance Team		

3	Nr dealt with in more than 20 working days	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints dealt with in more than twenty working days.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Copied: table 5 line 4		
Responsibility	Comparative Efficiency & Performance Team		

4	Total written complaints about charging and billing issues	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about charging and billing issues.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

5	Total written complaints about charging and billing issues escalated to second stage review	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about charging and billing issues escalated to second stage review.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

6	Total written complaints about water service issues	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about water service issues.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

7	Total written complaints about water service issues escalated to second stage review	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about water service issues escalated to second stage review.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

8	Total written complaints about sewerage service issues	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about sewerage service issues.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

9	Total written complaints about sewerage service issues escalated to second stage review	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about sewerage service issues escalated to second stage review.		
Primary Purpose	Confirming delivery of key outputs and service.		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

10	Total written complaints about metering issues	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about metering issues		
Primary Purpose	Confirming delivery of key outputs and service		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

11	Total written complaints about metering issues escalated to second stage review	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about metering issues escalated to second stage review.		
Primary Purpose	Confirming delivery of key outputs and service		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

12	Total written complaints about other service issues or activities.	nr	Odp
Definition	DG7: Response to written complaints; number of written complaints about other service issues or activities		
Primary Purpose	Confirming delivery of key outputs and service		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

13	Total written complaints about other service issues or activities escalated to second stage review	nr	0dp
Definition	DG7: Response to written complaints; number of written complaints about other service issues or activities escalated to second stage review.		
Primary Purpose	Confirming delivery of key outputs and service		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

14	Number of holding responses issued	nr	0dp
Definition	The total number of holding responses issued to customers as a result of a written complaint.		
Primary Purpose	Confirming delivery of key outputs and service		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

15	Consumer Council investigations	nr	0dp
Definition	The number of complaints (written or otherwise) that have been escalated for consumer council investigation within the report year.		
Primary Purpose	Confirming delivery of key outputs and service		
Processing rule	Input		
Responsibility	Consumer Council for Northern Ireland		

CHANGE CONTROL SHEET

CHAPTER 5a

2008/1.0	First issue of chapter for the SBP period.
2009/1.0	Second issue of chapter for the SBP period. <ul style="list-style-type: none"> – guidance amended to confirm that numbers of measured and unmeasured customer written complaints for charging and billing are to be reported in the company commentary – second stage review guidance amended
2010/1.0	Third issue of chapter for the SBP period. <ul style="list-style-type: none"> – Minor Changes to guidance
2011/1.0	First issue of chapter for the PC10 period. <ul style="list-style-type: none"> – No changes
2012/1.0	Second issue of chapter for the PC10 period. <ul style="list-style-type: none"> – Second stage review guidance amended. – Introduction of Block C – Other Customer Response Measures. These lines and commentary do not require completion in AIR12 if the monitoring of such data has yet to be implemented. Reporting should however commence in AIR13.
2013/1.0	Third issue of chapter for the PC10 period <ul style="list-style-type: none"> - Removal of the 'for information only' guidance for the other customer measures section of the guidance. - Updated guidance on repeat complaints. - Additional requirement for holding responses methodology commentary.