APPENDIX
19-0071

TITLE 83: PUBLIC UTILITIES
CHAPTER I: ILLINOIS COMMERCE COMMISSION
SUBCHAPTER c: ELECTRIC UTILITIES

PART 411
ELECTRIC RELIABILITY

SUBPART A: GENERAL

Section
411.10 Purpose
411.20 Definitions
411.30 Applicability of Subpart B
411.40 Applicability of Subpart C
411.50 Commission Design of Customer Survey

SUBPART B: REQUIREMENTS FOR ALL JURISDICTIONAL ENTITIES

Section
411.100 Reliability Obligations
411.110 Record-Keeping Requirements
411.120 Notice and Reporting Requirements
411.130 Interruption Cause Categories
411.140 Reliability Review
411.150 Modification or Exemption
411.160 Format and Disclosure of Reports
411.170 Exclusions
411.180 System Protection
411.190 Approval of Vegetation Management Programs

SUBPART C: UTILITIES WITH 100,000-1,000,000 OR MORE CUSTOMERS

Section
411.200 Specific Record-Keeping Requirements
411.210 Specific Notice and Reporting Requirements
411.220 Proceedings to Determine Responsibility Under 220 ILCS 5/16-125(e) & (f)
411.230 Proceedings to Determine Damages Under 220 ILCS 5/16-125(e) & (f)

SUBPART D: ELECTRIC SERVICE CUSTOMER SATISFACTION SURVEY

Section
411.300 Purpose of Subpart D
411.301 Definitions Used in Subpart D
411.305 Customer Survey Requirements
411.310 General Characteristics of the Customer Survey
411.315 Survey Implementation
APPENDIX

411.320 Format for Results of the Customer Satisfaction Survey
411.323 Raw Data
411.325 Survey Parameters
411.330 Categories of Responses for Survey Questions
411.332 Descriptive Statistics
411.335 Rating Questions
411.340 Yes/No Questions
411.345 Categorical Questions
411.350 Data Comparisons
411.355 Tracking the Results of the Customer Satisfaction Survey
411.360 Executive Summary

411.TABLE A Causes of Interruptions

AUTHORITY: Implementing Sections 8-401 and 16-125 and authorized by Sections 10-101 and 16-125 of the Public Utilities Act [220 ILCS 5].


SUBPART A: GENERAL

Section 411.40 Applicability of Subpart C

The provisions of Subpart C are applicable to all electric utilities that have 100,000-1,000,000 or more customers — unless a smaller number is specified in the provision.

(Source: Amended at 43 Ill. Reg. _____, effective ____________)

SUBPART B: REQUIREMENTS FOR ALL JURISDICTIONAL ENTITIES

Section 411.120 Notice and Reporting Requirements

a) Telephone or Facsimile Notice. A jurisdictional entity must provide notice by telephone or by facsimile transmission to the Consumer Services Division of the Commission when any single event (e.g., storm, tornado, equipment malfunction, etc.) causes interruptions for 10,000 or more of the jurisdictional entity's customers for three hours or more. After these such interruptions have continued for three hours, a jurisdictional entity must provide notice within one hour when the notice would be provided during normal business hours, or within the first hour of the next business day. A jurisdictional entity shall provide updates every two hours during the normal business day until service is restored to all customers involved. To the extent that data and information are known, the such notice shall include the data and information
listed in this subsection (a) below.

1) An estimate of the number of customers the interruptions affect.

2) Starting date of the interruptions.

3) Starting time of the interruptions.

4) Duration of the interruptions.

5) Locations of the interruptions, described as precisely as possible in generally recognized and geographically oriented terms such as street address, subdivision, or community.

6) Description of the cause of the interruptions.

7) The date and time when the jurisdictional entity expects to restore electric service.

8) The name and telephone number of a jurisdictional entity representative the Commission Staff can contact for more information about the interruptions.

9) Customer call volume to the jurisdictional entity during the interruption as compared to normal call volume and the steps the jurisdictional entity is taking to address call volume.

b) Annual Report report. On or before June 1 of each year, each jurisdictional entity, except for jurisdictional entities exempt under Section 411.110(b), shall file with the Chief Clerk of the Commission an annual report for the previous calendar year submitted under oath and verified by an individual responsible for the jurisdictional entity's transmission and distribution reliability.

1) The data requirements incorporated in the annual report are not meant to replace timely reports on outages when they occur or are remedied as required by other provisions of this Part.

2) Supporting data used for more than one purpose or calculation need be submitted only once in each annual report, if submitted with clear cross-references. Data should be consistent and differences reconciled to the extent possible.

3) The annual report shall include the information listed in this subsection (b)(3) below.

A) A plan for future investment and, where necessary, reliability
improvements for the jurisdictional entity's transmission and distribution facilities that will ensure continued reliable delivery of energy to customers and provide the delivery reliability needed for fair and open competition, along with the estimated cost of implementing the plan and any changes to the plan from the previous annual report.

i) The plan must cover all operating areas, including a description of the relevant characteristics of each operating area and the age and condition of the jurisdictional entity's equipment and facilities in each operating area.

ii) The plan shall cover a period of no less than three years following the year in which the report was filed.

iii) The plan shall identify all foreseeable reliability challenges and describe specific projects for addressing each.

iv) The plan shall provide a timetable for achievement of the plan's goals.

v) The plan shall report and address all unresolved reliability complaints about the jurisdictional entity's system received from other utilities, independent system operators, and alternative retail electric suppliers.

vi) The plan shall report the specific actions, if any, the jurisdictional entity is taking to address the concerns raised in such complaints received from other utilities, independent system operators, and alternative retail electric suppliers.

vii) The plan must consider all interruption causes listed in subsection Section 411.120(b)(3)(D).

viii) The plan must consider the effects on customers and the cost of reducing the number of interruptions reported as required by subsection Section 411.120(b)(3)(C).

B) A report of the jurisdictional entity's implementation of its plan filed pursuant to subsection (b)(3)(A) of this Section for the previous annual reporting period, including an identification of significant deviations from the first year of the previous plan and the reasons for the deviations.

C) The number and duration of planned and unplanned interruptions
for the annual reporting period and their impacts on customers.

D) The number and causes of controllable interruptions for the annual reporting period.

E) Customer service interruptions that were due solely to the actions or inactions of another utility, another jurisdictional entity, independent system operator, or alternative retail electric supplier for the annual reporting period.

F) A comparison of interruption frequency and duration for customers buying electric energy from the jurisdictional entity versus customers buying electric energy from another utility or alternative retail electric supplier for the annual reporting period. A jurisdictional entity may base this comparison on each customer's supplier as of December 31 of each year. A jurisdictional entity need not include this information for customers whose electric energy supplier is not known to the jurisdictional entity.

G) A report of the age, current condition, reliability and performance of the jurisdictional entity's existing transmission and distribution facilities, which shall include, without limitation, the data listed in this subsection (b)(3)(G) below. In analyzing and reporting the age of the jurisdictional entity's plant and equipment, the jurisdictional entity may utilize book depreciation. Statistical estimation and analysis may be used when actual ages and conditions of facilities are not readily available. The use of these techniques shall be disclosed in the report.

i) A qualitative characterization of the condition of the jurisdictional entity's system defining the criteria used in making the qualitative assessment, and explaining why they are appropriate.

ii) A summary of the jurisdictional entity's interruptions and voltage variances reportable under this Part, including the reliability indices for the annual reporting period.

iii) The jurisdictional entity's expenditures for transmission construction and maintenance for the annual reporting period expressed in constant 1998 dollars, the ratio of those expenditures to the jurisdictional entity's transmission investment, and the average remaining depreciation lives of the entity's transmission facilities, expressed as a percentage of total depreciation lives.
iv) The jurisdictional entity's expenditures for distribution construction and maintenance for the annual reporting period expressed in constant 1998 dollars, the ratio of those expenditures to the jurisdictional entity's distribution investment, and the average remaining depreciation lives of the entity's distribution facilities, expressed as a percentage of total depreciation lives.

v) The results of a customer satisfaction survey completed during the annual reporting period and covering reliability, customer service, and customer understanding of the jurisdictional entity's services and prices.

vi) An overview pertaining to the number and substance of customers' reliability complaints for the annual reporting period and their distribution over the jurisdictional entity's operating areas.

vii) The corresponding information, in the same format, for the previous three annual reporting periods, if available.

H) A table showing the achieved level of each of the three reliability indices of each operating area for the annual reporting period (provided, however, that for any reporting period commencing before April 1, 1998, a jurisdictional entity will not be required to report the CAIFI reliability index).

I) A list showing the worst-performing circuits for each operating area for the annual reporting period with the understanding that the designation of circuits as "worst-performing circuits" shall not, in and of itself, indicate a violation of this Part.

J) A statement of the operating and maintenance history of circuits designated as worst-performing circuits; a description of any action taken or planned to improve the performance of any such circuit (which shall include information concerning the cost of that action); and a schedule for completion of any such action. (The jurisdictional entity may decide, based on cost considerations or other factors, that it should take no action to improve the performance of one or more circuits designated as worst-performing circuits. If the jurisdictional entity decides to take no action to improve the performance of one or more circuits designated as worst-performing circuits, the jurisdictional entity shall explain its decision in its annual report.)

K) Commencing June 10, 2001, tables or graphical representations,
covering, for the last three years, all of the jurisdictional entity's customers, and showing, in ascending order, the total number of customers that experienced a set number of interruptions during the year (i.e., the number of customers who experienced zero interruptions, the number of customers who experienced one interruption, etc.).

L) Commencing June 10, 2001, for those customers who experienced interruptions in excess of the service reliability targets, a list of every customer, identified by a unique number assigned by the jurisdictional entity and not the customer's name or account number, the number of interruptions and interruption duration experienced in each of the three preceding years, and the number of consecutive years in which the customer has experienced interruptions in excess of the service reliability targets.

M) The name, address and telephone number of a jurisdictional entity representative who can be contacted for additional information regarding the annual report.

c) Customer Report report. A jurisdictional entity shall, upon request made by a customer or the Consumer Services Division of the Commission, provide to the customer and/or the Consumer Services Division, within 30thirty days after the request, a report on all interruptions that the customer making the request, or subject to the Consumer Service Division's request, has experienced at the customer's current service location during the most recent five calendar years. The report shall identify for each interruption the information specified in Section 411.110(a)(1)(A) through - (D). Notwithstanding the provisions of this subsection, a jurisdictional entity is not required to report data pursuant to this Section that Section 411.110(b) does not require a jurisdictional entity to maintain, or that the jurisdictional entity was not required to retain at the time of the interruption. This subsection does not alter the provisions of 83 Ill. Adm. Code 200 and 280 that relate to informal and formal complaint procedures.

(Source: Amended at 43 Ill. Reg. ______, effective ____________)

**Section 411.160 Format and Disclosure of Reports**

The reports required to be filed by this Part shall be submitted to the Commission and available to the public in both printed and electronic form. The printed version shall be the official version filed with the Commission's Chief Clerk. Computerized data and information filed as part of a report that is stored by a jurisdictional entity on a personal computer shall be provided in Microsoft Office, or other format agreed to by Commission Staff, Corel Office, IBM personal computer compatible file formats and delivered to the Commission's offices via Internet electronic mail or on floppy disks or other portable storage media as agreed to by the Commission Staff. Underlying data provided to the Commission shall be available to the public.
to the extent that it is not proprietary information. A jurisdictional entity shall report the required 
information on both a system-wide and operating areas basis. A jurisdictional entity shall submit 
the required information in a consistent format each year that facilitates comparisons across time 
periods and that uses non-technical language. A jurisdictional entity's reports shall be available 
to the public from the jurisdictional entity and from the Commission. A jurisdictional entity 
shall keep copies of its reports at its public offices.

(Source: Amended at 43 Ill. Reg. ______, effective __________)

SUBPART C: UTILITIES WITH 100,000-1,000,000 OR MORE CUSTOMERS

Section 411.200 Specific Record-Keeping Requirements

a) Electric utilities with 100,000-1,000,000 or more customers must maintain service 
records detailing information on each interruption that affects 10 or more 
customers, or power fluctuations that affect 30,000 or more customers, or 0.8% of 
the utility’s total customers, whichever is less. The service record for each 
interruption shall be maintained for at least five years and shall include the 
following information: listed below.

1) Starting date of the interruption or power fluctuation.
2) Starting time of the interruption or power fluctuation.
3) Interruption or power fluctuation duration.
4) Number of customers affected by the interruption or power fluctuation.
5) Description of the cause of the interruption or power fluctuation.
6) Geographic area affected by the interruption or power fluctuation.
7) Specific equipment involved in the interruption or power fluctuation.
8) Description of measures taken to restore service or eliminate power 
fluctuation.
9) Description of measures taken to remedy the cause of the interruption or 
power fluctuation.
10) Description of measures taken to prevent a future interruption or power 
fluctuation.
11) Amount of remuneration, if any, paid to affected customers.
12) Statement of whether the fixed charge was waived for affected customers.
b) An electric utility with 100,000 or more customers shall not modify its data collection or record-keeping procedures so as to collect or record less information about the reliability of its transmission and distribution facilities under the jurisdiction of the Commission or to collect information for fewer discrete areas than the utility collected in calendar year 1997 without first seeking the comments of the Commission Staff. Any changes in data collection and record-keeping procedures made without agreement of the Staff shall not excuse a later failure to provide information required or requested under the Act or this Part.

(Source: Amended at 43 Ill. Reg. _______, effective ____________)

Section 411.210 Specific Notice and Reporting Requirements

Each electric utility having 100,000 or more customers shall provide the following notice and reports as listed below:

a) Make the information, which the utility must maintain in accordance with Section 411.200, available for public inspection at the utility's offices and provide copies of the information to the public upon payment of a fee not exceeding the reasonable cost of reproduction.

b) File, with the Commission's Chief Clerk, an annual report on or before June 1 of each year that includes the following information listed below.

1) Each record that Section 411.200 requires the utility to maintain.
2) Each record that Section 411.200 requires the utility to maintain.
3) The projected load and peak demand for each of the utility's operating areas for the following three years.
4) The peak loading (as a percentage of rated normal and emergency capacity) on each transmission and distribution substation transformer operating during its peak loading period at or above 90 percent of normal rated capacity, except when such data would reveal information about loads of specific customers.

c) File, with the Commission's Chief Clerk, a report on or before June 1, 1999 that lists the discrete areas for which it collected reliability data and kept reliability records and that explains its reliability data collection and record-keeping procedures for calendar year 1997.

d) Notify the Commission, within 72 hours, in the event that more than 30,000 customers, or 0.8% of the utility's total customers, whichever is less, are subjected to a power interruption that meets the conditions set forth in Section 16-
APPENDIX

125(e) of the Act or more than 30,000 customers, or 0.8% of the utility’s total customers, whichever is less, are subjected to a power surge or other fluctuation that meets the conditions in Section 16-125(f) of the Act.

(Source: Amended at 43 Ill. Reg. ______, effective ____________)

Section 411.220 Proceedings to Determine Responsibility Under 220 ILCS 5/16-125(e) & (f)

a) In the event that more than 30,000 customers of a utility, or 0.8% of the utility's total customers, whichever is less, are subjected to a power interruption that meets the conditions set forth in Section 16-125(e) of the Act and the utility or the Commission believes that the such interruption is due to one or more of the causes set forth in Section 16-125(e)(1) through -(4) of the Act, then the utility may commence a proceeding before the Commission, or the Commission may commence on its own motion a proceeding, seeking a declaration that the subject interruption was due to one or more of those such causes and that liability under Section 16-125(e) of the Act should be waived by the Commission. Any such proceeding shall be commenced by the utility or the Commission no later than 30 days after the date on which a claim is filed with the Commission seeking damages or expense reimbursement such power interruption. The Commission's decision in that such proceeding shall be appealable by any party thereto, and except as reversed or modified on appeal, the determination of the cause of the interruption in this proceeding and the Commission's decision to grant or deny a waiver of liability in connection with the interruption therewith shall be final and shall be binding on both the utility and claimants in actions before the Commission to recover damages under Section 16-125(e) of the Act. This proceeding shall determine only the liability of the utility under Section 16-125(e) of the Act and shall not constitute a finding or determination, for the purpose of this or any other proceeding, that the utility was or was not negligent, did or did not breach a contract, or violated or did not violate any other legal duty or obligation.

b) In the event that more than 30,000 customers of a utility, or 0.8% of the utility's total customers, whichever is less, are subjected to a power surge or other fluctuation that meets the conditions set forth in Section 16-125(f) of the Act, and the utility or the Commission believes that the such power surge or other fluctuation is due to one or more of the causes set forth in Section 16-125(f)(1) through -(4) of the Act, then the utility may commence a proceeding before the Commission, or the Commission may commence on its own motion a proceeding, seeking a determination from the Commission that the subject power surge or other fluctuation was due to one or more of those such causes and that, therefore, no liability attaches under Section 16-125(f) of the Act. Any such proceeding shall be commenced by the utility or the Commission no later than 30 days after the date on which a claim is filed with the Commission seeking damages or expense reimbursement such power surge or other fluctuation. The Commission's
decision in the proceeding shall be appealable by any party to the proceeding thereof, and except as reversed or modified on appeal, the determination of the cause of the power surge or other fluctuation in this proceeding shall be final and binding on both the utility and claimants in actions before the Commission to recover damages under Section 16-125(f) of the Act. This proceeding shall determine only the liability of the utility under Section 16-125(f) of the Act and shall not constitute a finding or determination, for the purpose of this or any other proceeding, that the utility was or was not negligent, did or did not breach a contract, or violated or did not violate any other legal duty or obligation.

c) Any customer affected by the subject interruption, power surge or other fluctuation, or a unit of local government in which such interruption, power surge or other fluctuation occurred, shall be entitled to intervene in a proceeding brought pursuant to this Section. Informal and formal complaints pursuant to the Commission's Rules of Practice (83 Ill. Adm. Code 200) brought by affected customers and units of local government shall be stayed pending disposition of this proceeding and appeals thereof, or consolidated with this proceeding for the purposes of liability.

(Source: Amended at 43 Ill. Reg. ______, effective ____________)

SUBPART D: ELECTRIC SERVICE CUSTOMER SATISFACTION SURVEY

Section 411.310 General Characteristics of the Customer Survey

a) The customer survey shall be conducted annually, in the fall, on the anniversary of the initial survey.

b) The survey shall be identical for all jurisdictional entities.

c) The survey shall be conducted for residential and non-residential customers. For the residential population, the survey respondent shall be the person in the household who is most familiar with the household's electric service. For non-residential customers, the survey respondent shall be the person who is most familiar with electric service in the organization.

d) For each jurisdictional entity, the sample size shall be adequate to ensure that answers are reflective of the population at a specified statistical level of confidence and confidence interval as follows:

   1) For residential customers, sample size shall be sufficient to achieve a 95% confidence level with a confidence interval of ± 4.0%. This confidence level and confidence interval equates to 600 respondents for utilities with 10,000 or more residential customers. The sample size for utilities with fewer than 10,000 residential customers would be adjusted by a finite population correction factor calculated as (N-n)/(N-1), where N =
population size and \( n \) = originally required sample size.

2) For non-residential customers, sample size shall be sufficient to achieve a 95% confidence level with a confidence interval of ± 4.9%. This level of confidence and confidence interval equates to 400 respondents for utilities with 10,000 or more non-residential customers and accordingly fewer (i.e., \( (N-n)/(N-1) \)) for smaller jurisdictional entities.

e) Before if a utility uses a telephone survey, before eliminating a customer and randomly selecting a replacement, the jurisdictional entities shall:

   1) make a minimum of five telephone calls to each randomly selected customer;

   2) attempt to reach the randomly selected customer at different times of day;

   3) call the customer back at the specified time if the customer answers the telephone but asks to respond to the survey at a different time; and

   4) call back at a time the target respondent is expected at home or office if the telephone is answered by anyone but the target respondent.

f) If a utility uses an online survey, the survey shall comply with the requirements of subsections (a) through (d).

(Source: Amended at 43 Ill. Reg. _______, effective _____________)