SCC/VUPS Damage Prevention
2012
Agenda

• VA811 Technologies
• ISO process
• Control of Records
• Training
• Quality Assurance
• Change Management
• Continuous System of Improvement
• Management Review
Virginia 811 Technologies
Virginia 811 Technologies

- Location Enhanced Ticket Search (LETS)
- Utility Conflict Awareness Mapping System (UCAMS)
- Excavator Work Order System (EWOS)
- Satellite Imagery
- Web Ticket Management System w/ mapping
- Electronic Manifest
- Electronic White lining
- Homeowner Ticket
- Update/Remark/Cancel
ISO Initiative
Overview
International Organization for Standardization
ISO Process
ISO 9001:2008

• A system to manage business with coordinated activities to direct and control an organization using quality as a driver.

  – ISO Monitors Process Management
  – Optimizes Company Tasks & Activities
    • Instead of Just Inspecting the Final Product
Benefits

- Improves Efficiencies and Productivities
- Facilitates Continual Improvement
- Improves Process Consistency and Stability
VUPS Enhancement Databases

- Succession Plan Wizard
- Training Database
- Change Management
- Continuous System for Improvement (CSI)
- PolicyTech
Control of Records
Control of Records & Documents

PolicyTech

- Systematic Way of Document & Record Control
- Unique Identifier, Version Number, Effective Date, Review Date
- Collaboration, Review and Approval Process
- Required Readers for Critical Documents
- Quiz – Verify Reader Comprehension
- Report Capability – Employee Sign Off on Documents
- Archive Old Documents
- Review Process of Documents
**Title:** Quality Assurance Policy

*Printed copies are for reference only. Please refer to the electronic copy for the latest version.*

**Policy:** Tickets delivered to member utilities by VUPS will be sampled for quality. When critical errors are found, the sample size will increase in accordance with the risk based provisions of the quality assurance procedures. Any non-compliant ticket will result in additional training, termination of web ticket entry privileges or progressive disciplinary action (for VUPS staff), as appropriate, to ensure continual improvement.

**Scope:** Operations Department, Damage Prevention Specialists, Public Awareness & Training Coordinators, Web Ticket Entry Users

**Definitions:**

- **Critical Error** – Failure to follow policies and procedures that results in under-notification of utility members or in the failure to collect accurate data to complete the Notification Requirements.
- **Non-Compliant ticket** – A ticket that does not comply with VUPS Policies and Procedures, the Web Ticket Entry User Agreement, the notification requirements, or results in a critical error.
- **Notification Requirements** – As identified in Section 56-265.18 of the law. This data consists of a portion of the required information for a ticket.
- **Required Information** – The Newton ticket entry fields that are labeled with a blue font.
- **Ticket** – A notice of excavation as defined in Section 56-265.15 and 56-265.18 of the Damage Prevention Act

**Related Documents:**

- [20VAC5-300-90.C15 Training program for notification center's employees](#)
- Quality Assurance for DPS Procedure
- Quality Assurance for Web User Procedure

**References:**

- [LIS > Code of Virginia > 56-265.15](#)
- [LIS > Code of Virginia > 56-265.17](#)
- [LIS > Code of Virginia > 56-265.18](#)
- [LIS > Code of Virginia > 56-265.22](#)
### Business Title
Virginia Utility Protection Service, Inc.

### Title
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### Date Created | Date Submitted | Date Approved | Publication Date | Next Review Date | Review Interval |
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--Main Office--: Pevarski, Rick (President/CEO)

### Accepted Dates
- Accepted (08/26/2011 3:29 PM)
- Accepted (08/26/2011 12:56 PM)

### Categories
Operations
Procedures

### Affected Department(s)
--Main Office--: Operations

### Keywords
emergency, emergency ticket, processing emergency, taking a ticket, ticket taking, VA ticket type, Virginia ticket type, Emer, EMER, processing a ticket, emergency ticket procedure, processing an emergency ticket

### URL
http://docs/docview/?docid=576
Training
Management Training

Core Curriculum

100 Series

• The “Respect” Relationship
• Communication – The Complete Circuit
• Training: Giving Clear Knowledge
• Coaching for Success

200 Series

• What it Means to be a Supervisor
• Understanding Individual Employees

300 Series

• Communication - The Essence of Respect
• Motivation
• Setting Goals & Organization
• Orientation & Training

va811.com
## Leadership: What it means to be a Team Leader/Supervisor Training Syllabus

### Administrative Data:

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<tbody>
<tr>
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### Media
- PowerPoint on CD, LCD Projector, White Board, Dry Erase Markers, Flip Chart

### Method of Instruction
1. Lesson Plan
2. Power Point Presentation
3. Handouts

### Participant’s Resources:

### Learning Objective:
Leadership builds a foundation that enables a Team Leader/Supervisor to lead his/her team toward a shared goal: achieving VUPS Mission Statement. This session will focus on the skills needed to build respect between you and those you lead.

### Outline

**Prerequisites**
Read John Maxwell’s book, Leadership 101
Each participant will write a paragraph explaining what it means to be a Team Leader/Supervisor.

1. Welcome
2. Distribute participant’s resource manual material
3. Have each participant read their paragraph and explain why they are attending this session.

### Course Content
1. Would Thomas Jefferson be successful as a VUPS Team Leader/Supervisor?
2. Defining Leadership
3. Leadership: Key Concepts—Influence, Empowerment, and Respect
4. “Leadership Key Points” comparison with Mr. Maxwell’s four phases of Leadership
5. Building a Leadership Legacy
6. Summary: Answering the Leadership Question.
Training - DPS

- New Hire Training
- Continuous Training
Training Document / Storage
DPS Training Schedule

- 10 Days of Initial Classroom Training
- 4 Days of Parallel Training (OJT)
- Continuous Training
- Individual Training Plans
New Hire Training Syllabus

**Day 1**
- Meet and Greet – Social Committee
- Orientation and On-boarding – Bruce Wood
  - Human Resources
    - VUPS Culture
    - Distribute DPS Trainee Information
    - Employee Handbook – Policytech
  - President & CEO Address – Rick Pevarski
    - Welcome
    - History
- Training Orientation – Susan Painter
  - SCC Video
  - Locating Video
- Preview of Systems and Resources
  - Resources
    - DPS Trainee Manual
    - Professional Excavator Manual
    - Virginia Marking Standards
  - Systems
    - Introduction to Newtin Ticket Entry
    - Using Policytech
- Parallel Partnership
  - Initial observation of the ticket taking process
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<th>Location</th>
<th>Trainer</th>
<th>Subject</th>
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<td>Bruce Wood</td>
<td>VUPS Culture &amp; Door Pass (enter with a Positive Mental Attitude)</td>
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<td>60</td>
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<td>Introduction to Employee Handbook / Initial Paperwork</td>
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<td>Welcome and History</td>
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<td>The Seven Keys to a Positive Mental Attitude</td>
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<td>12:00 – 1:00</td>
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<td>Susan Painter</td>
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<td>1:15 – 1:45</td>
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<td>Discover On-Line Resources</td>
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<td>1:45 – 2:00</td>
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<td>Life of a ticket</td>
</tr>
<tr>
<td>2:00 – 2:15</td>
<td>15</td>
<td>Break</td>
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<td>2:15 – 2:45</td>
<td>30</td>
<td>TR</td>
<td>Susan Painter</td>
<td>Introduction to Parallel Partnership</td>
</tr>
<tr>
<td>2:45 – 3:45</td>
<td>60</td>
<td>Call Floor</td>
<td>Parallel Partner</td>
<td>Introduction to Ticket Entry via Parallel Partnership</td>
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<td>3:45 – 3:50</td>
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<td></td>
<td>Return to Training Room</td>
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<tr>
<td>3:50 – 4:25</td>
<td>35</td>
<td>TR</td>
<td>Susan Painter</td>
<td>Introduction to Locating: Other Side of the Fence</td>
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<td>4:25 – 4:30</td>
<td>5</td>
<td></td>
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<td>Log out of System</td>
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</table>
Lesson Plan: Life Cycle of a Ticket

VIII. Life Cycle of a Ticket

Administrative Data:
- Preparation Time: 0.5 Hour
- Time of Instruction: 30 Minutes (1:45 – 2:15pm)
- Method of Instruction: Lecture
- Media: Power Point Presentation
- Student Resources: Observation

Learning Objective:
1. Introduce new employees to:
   a. The CARE Message
   b. The Virginia Underground Utilities Damage Prevention Act.
   c. The step taken to process a ticket.
   d. What role the law plays in the process.

The message we want to convey is Dig with CARE Keep Virginia Safe.
811 was implemented across the nation to support these efforts.

Let's dig a little deeper into the CARE Message. Obviously our role is at the very top of the message.

The process gets started with the call the Miss Utility...

Tell me: who do you think our customers are?

Let's look at what the law says?

There are some exemptions.... Who do you think is exempt from calling in a ticket?

Let's see how we did?

Now that we know who our customer's are. Let's look at what the expectation is for providing service to those customers.

There is some very specific direction written into the law with regard to the notification center.

Let's take a look at it....

The Law outlines specific expectations for the notification center:
We must be open to everyone who operates underground facilities.
We must maintain a database of the location of all underground facilities.
We must transmit notices or tickets within one hour.
(Emergencies and 3hr. Notices are transmitted within 5 minutes).
Keep in mind that the law was written in 1979....that was before everything was spontaneous.

The database the law talks about is the location of underground facilities such as those of Roanoke Gas. This information is provided by each utility who is a member.
Lesson Plan: Normal Ticket

V. Introduction to Newtix Ticket Entry Screen / Normal Ticket

Administrative Data:
- Preparation time: 1 Hour
- Time of Instruction: 75 Minutes (10:45 – 12:00 p.m.)
- Method of Instruction: Lecture, Demonstration, Interactive Discussion and Participation
- Media: Lesson Plans, Newtix Software
- Student Resources: Newtix Ticket Entry Screen, Newtix Ticket Entry Training Manual (pages 7-25)

Learning Objective:
1. Use Newtix Ticket Entry to complete a Normal ticket
   a. Know how to ask the correct questions
   b. Enter accurate data
   c. Verify the information provided by the caller

1. Caller and Field Contact
   a. Select the Normal Command button
   b. When the Clear Fields Message Box appears, select YES
      a. Explain what happens if NO is selected – used when processing multiple tickets
   c. Explain that the telephone number is how all the other data is connect to the caller
   d. Explain how to ask the caller for the phone number
   e. Have DPS enter their own phone number
   f. Discuss how to ask for the caller’s name
   g. Have DPS enter their own name
   h. Discuss the purpose of the caller survey (if applicable) and show how to gather the information

Page 8
   i. Discuss the caller database by entering 540-965-9355 and show how the data is stored
   j. Discuss Company Lookup

Page 9
   k. Explain the caller type and how to retrieve the correct type
   l. Discuss how to ask caller for this information
   m. Have DPS select contractor
   n. Explain the purpose for the direct line
   o. Explain how the Direct Line field automatically pre-fills
   p. Discuss how to ask for the direct line information
   q. Discuss purpose of extension
   r. Have DPS enter another number

Page 12
   s. Discuss the purpose and value of email
   t. Explain how to ask for email and the importance of asking the caller to spell

Page 13
   x. Explain the differences in how the Company field is used for a homeowner or contractor
   y. Have DPS enter their name
   z. Discuss how to ask for a company name
   aa. Have DPS enter the company name
   bb. Discuss how to ask for the company mailing address
   cc. Have DPS enter the mailing address
   dd. Discuss how to ask for a company mailing address
   ee. Have DPS enter a mailing address for their company

Page 14
   ff. Explain the purpose of the field contact
   gg. Show all the fields are used
   hh. Demonstrate how to collect the data
      a. Have DPS enter a name and telephone
      b. Discuss how to handle the situation if the caller is calling in for a homeowner
      c. Explain that if the ticket were an Emergency or 3HR Notice how the field contact would be handled

Page 15
   ii. Established
   mm. New

2. Area of Excavation
   a. If the caller is a homeowner, explain the benefit of using a transition statement
   b. Demonstrate how to use the work type list
   c. Explain that the actual work type will be explored in detail at a later time
   d. Discuss how to ask the caller for the type of excavation they will be doing
   e. Explain how to ask for other
      a. Have DPS enter a type of work

Page 16
   f. Explain the purpose of the Done For field
      a. Show how to format the field based on if the work is being done for the caller or someone else
      b. Show how to format the field if the work is being done for a homeowner
   i. Have DPS enter SAME
   g. Explain that the State field will always remain as Virginia as VUPS only takes tickets within the state of Virginia
   h. Explain that the County, City Field designates where
   i. Demonstrate how to ask the caller for the county / city
Training Database

Current Location -->

Welcome: Susan B. Painter

Quality  Management Tools  Training  Fitness

Create Class  List Classes  Add Subject to Class

Add Class

Year: 2011
Title:
DPS Trainee - Day 1
Overview:
## Training Database

### Select Employee:
- Brendan Dalglish

### Select Class:
- -Select Class-

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<th>Full_Name</th>
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Regular Team Huddles

September Team Huddle

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Audience:
All DPS staff

Objective:

- At the conclusion of training DPS will understand how to respond to a caller who has selected “unmarked utility” from the pre-announcer and how to verify the ticket before processing the 3HR Notice, Remark or Update.
  - 3HR Notice (unmarked utility)
    - Listen for the whisper, “unmarked utility” and then ask: “I understand you have an unmarked utility, may I have your ticket number please?”
    - Ask for the City/County and Dig site address
    - It is no longer necessary to restate the Work Type, Cross Streets and Excavation Areas as part of verification.
  - Remark and Update
    - Asking the caller for County/City and Dig Site address is consistent when processing 3HR Notices, Updates and Remarks
    - It is no longer necessary to restate information from the Work Type to the Excavation Area field.
Learning Accountability

### 1. Questions & Answers

You can make comments about the quiz in the [discussion](#) area.

**Objective 1:** To understand the updated procedure for verifying 3HR Notices, Remarks and Updates, how to respond to a customer who has selected "unmarked utility from the pre-announcer and how to correct an error made on a 3HR Notice.

1. **What information must the caller provide before you begin processing a Three Hour Notice, Update or Remark?**
   - Name and Company, County / City and Dig Site address
   - County / City and Dig Site Address
   - All data from Work Type through Excavation Area fields

2. **What statement should you make when you hear the whisper, "Unmarked Utility"?**
   - "How can I help you today?"
   - "May I have your ticket number please?"
   - "I understand you have an unmarked utility, may I have your ticket number please?"

3. **What steps must you take to correct a mistake on a 3HR Notice?**
   - Cancel the 3HR Notice and process a new 3HR Notice
   - Process a new ticket and send an email to your Team Leader
   - Process another 3HR Notice explaining the reason for the correction
Quality Assurance
Quality Assurance Audits

- Gathering Departmental Metrics and Audits
  - Human Resources
  - Information Technology
  - Accounting
  - Public Awareness & Training
  - Operations
- Results of audits become part of the Management Review
New Hire Trainee QA

Audits and Call Reviews

- 100% audit of ticket for the first 30 Days of employment
- Monthly random audits
- Assign continuous training on an as-needed basis
- 2 Initial call reviews
- Completion of Level T (Training) within first 90 Days
DPS - QA & Call Reviews

- Coach Audits – minimum 10 random tickets per DPS per month = 720
- Team Leader Review – 6 calls per month per DPS = 360 calls per month
  - 3 Calls - Silent Monitor: Consistency
  - 2 Calls – Interactive Call Reviews: Identify successes and opportunities for improvement
  - 1 Call – Side-by-Side: Personal coaching
- Risk-Based Audits – on as needed basis
Quality Monitoring

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<th>Header</th>
<th>DPS: Clark, Stacey</th>
<th>Team Leader: Karen</th>
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<td>20110816V7001...</td>
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<th>Premier Customer Service</th>
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<td></td>
<td>Premier Customer Service</td>
<td>Notification Requirements</td>
<td></td>
</tr>
<tr>
<td>Educating the Caller</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Information</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accuracy Error</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Comments</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Critical Error</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customer Service</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expectations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- 5 - Verified Company # - Field Contact
- 5 - Verified Dig Site address
- 5 - Stated: Locator needs access to meters
- 5 - Educated: reason for mapping
- 5 - Verified Work Type - Excavation Area
- 5 - Asked for additions or changes

Total Score: 100
QM – Notification Requirements

<table>
<thead>
<tr>
<th>Professionalism Error</th>
<th>Scoring</th>
<th>VUPS Procedure Error</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Standards</td>
<td></td>
<td>Premier Customer Service</td>
</tr>
<tr>
<td>Educating the Caller</td>
<td>General Information</td>
<td>Mapping Efficiency</td>
</tr>
<tr>
<td>Accuracy Error</td>
<td>Comments</td>
<td>Critical Error</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Customer Service Expectations</td>
</tr>
</tbody>
</table>

- 5 - Obtained Company # - Field Contact (3)
- 5 - Obtained Work Type - White Paint
- 15 - Entered specific location (avoided entire)
- 5 - Provided Notification Guidelines

Total Score: 0
QM – Performance Standards

<table>
<thead>
<tr>
<th>Professionalism Error</th>
<th>Scoring</th>
<th>VUPS Procedure Error</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Standards</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Educating the Caller</th>
<th>General Information</th>
<th>Mapping Efficiency</th>
<th>Notification Requirements</th>
<th>Customer Service Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accuracy Error</td>
<td>Comments</td>
<td>Critical Error</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- 5 - Verified Company # - Field Contact
- 5 - Verified Dig Site address
- 5 - Stated: Locator needs access to meters
- 5 - Educated: reason for mapping
- 5 - Verified Work Type - Excavation Area
- 5 - Asked for additions or changes

Total Score: 0
### QM – Premier Customer Service

<table>
<thead>
<tr>
<th>Performance Standards</th>
<th>Premier Customer Service</th>
<th>Professionalism Error</th>
<th>Scoring</th>
<th>VUPS Procedure Error</th>
</tr>
</thead>
<tbody>
<tr>
<td>Educating the Caller</td>
<td>Comments</td>
<td>Accuracy Error</td>
<td></td>
<td></td>
</tr>
<tr>
<td>General Information</td>
<td>Critical Error</td>
<td>Customer Service Expectations</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Displayed a "can do" attitude / avoided "have to" or "need to"
- Kept Caller on track / matched Caller's pace / minimized dead air space
- Was respectful and / or used empathy (focused on need or safety)
- Was attentive and listened to Caller
- Was expressive and used voice inflection
- Engaged Caller / asked probing questions
- Conducted professional conversation and / or educated the Caller
DPS Training Levels

Skill Base Training
  – Level T (Training)
  – Level 1
  – Level 2
  – Level 3
  – Level 4

Detailed Training Manuals are designed for each level
Risk – Based Audits

- **Critical Error** – Failure to follow policies and procedures that results in under-notification of utility members or in the failure to collect accurate data to complete the Notification Requirements.
  - Audit 100% of tickets – minimum 50 tickets

- **Nonconformity** - Non-fulfillment of processes; needs, expectations, or obligations; which may be stated or implied by an organization, its customers, or its stakeholders.
  - Audit 50% of tickets – minimum 25 tickets
Individual Training Plan

Virginia Utility Protection Service
Job Performance / Skills Development Plan

**EMPLOYEE**

Employee Name: DPS

Department: Operations

Review Period: 8/30/2011

Supervisor: Susan Painter
Coach:

**Performance / Skill**

Description: Processing accurate tickets (avoiding Critical and Accuracy Errors)

**Training Goals**

At the conclusion of training, DPS will have a clear understanding of errors she made during the period of 8/12 – 8/29 that has resulted in Risked-based audit of all tickets.

- DPS must be able to process accurate tickets without assistance
- The audit of DPS tickets must return to random status (*no longer in Risked-based audit status*)

**Learning Objectives**

Following the review of tickets that contain Critical or Accuracy errors, DPS should be able to:

- Match the map by using St, C1 & C2
- Match the Excavation Area with the Dig Site Polygon
- When no address is listed on the ticket, define the area of excavation by using an additional cross street or landmarks
- Define excavation area when caller provides Latitude and Longitude point
- When referencing an intersection, streets must intersect
Quality Assurance
Web Ticket Entry
Web Ticket Entry - QA

• New WebTE users have 100% of tickets audited for the first 30 days.
• 1 Ticket per unique WTE user on the same business day
• Goal of at least 10% of tickets by every WTE user
• Average of 40% - 50% overall
Notification Requirements
## WTE Audit Guidelines

<table>
<thead>
<tr>
<th>VERIFIED</th>
<th>FEEDBACK</th>
<th>CORRECTION</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Ticket is accurate – no action needed.</strong></td>
<td>One or more areas of concern have been identified but the ticket does not present a safety hazard.</td>
<td>One or more issues exist <strong>requiring immediate action.</strong></td>
</tr>
<tr>
<td><strong>The text &lt;NONE&gt; automatically populates in the Comment text box.</strong></td>
<td>Enter specific comments in the Comment text box describing the identified area(s) of concern.</td>
<td>Enter specific comments in the Comment text box describing the identified area(s) of concern.</td>
</tr>
</tbody>
</table>

**Review the following:**
- ✓ Dig Site Information
- ✓ Excavation Area Field
- ✓ Instructions Field
- ✓ Mapping

**Address/Street fields:**
- Misspelling of street name, incorrect prefix or suffix, and/or does not match the map.
- No Cross Street

**Excavation Area field:**
- Work type and description of proposed excavation area do not match.
- Vague description of where excavation will take place.

**Instructions Field:**
- Contains information that should be in the Excavation Area field.
- Contains data that should not be displayed on revision tickets. (reference to previously issued 3HR Notice)

**Mapping:**
- Dig site polygon does not include the complete excavation area described but the correct utilities were notified.
- Dig site polygon covers a much larger area than described and utilities were notified unnecessarily.

**Address/Street fields:**
- Numerical portion of address is incorrect
- There is a discrepancy between the address in the address field and the address in the excavation area.

**Excavation Area field:**
- Does not provide a description of the specific location of the proposed work or is written in a manner that the locator(s) may misinterpret where the excavation will take place.

**Mapping:**
- Dig site polygon does not match the excavation area and address fields.
- Utility members were not notified.
# Instant Communication

## Newtin - A (Roanoke, VA)

### Message Center + Restricted

**User WSPAINTER**  
You Have 3 Messages Waiting.  
Last Checked on 08/31/11 09:51:04

- [Check Messages](#)

### Inbox (5)

<table>
<thead>
<tr>
<th>From</th>
<th>Date</th>
<th>Subject</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>DPRICE</td>
<td>08/16/11 15:07:28</td>
<td>NEW FEATURES IN QUICKMAP FOR WEB TE</td>
<td>▼</td>
</tr>
<tr>
<td>DPRICE</td>
<td>08/01/11 15:43:58</td>
<td>TICKET ENTRY - CROSS STREETS AND WORK TYPE = &quot;OTHER&quot;</td>
<td>▼</td>
</tr>
<tr>
<td>SLIGHT</td>
<td>06/17/11 08:19:22</td>
<td>VA811.COM WEBSITE</td>
<td>▼</td>
</tr>
<tr>
<td>SLIGHT</td>
<td>04/12/11 11:43:54</td>
<td>NEW WEB TICKET ENTRY FEATURE</td>
<td>▼</td>
</tr>
<tr>
<td>DPRICE</td>
<td>09/09/10 13:57:30</td>
<td>MESSAGE CENTER PLUS</td>
<td>▼</td>
</tr>
</tbody>
</table>

<<First  <Prev  Next>  Last>>  
(Results 1-5 of about 5)
The Message:

**SPECIAL NOTICE OF NEW FEATURE IN QUICKMAP FOR WEB TICKETS**

VUPS is pleased to announce that TAB 0 - LAYERS has been added to QuickMap for Web Ticket Entry Users. This feature was added a few months ago and it provides additional search tools. It can provide the ability to see data that has been added to the map by municipalities that cannot be easily displayed in visual format.

Examples:
- MILEPOST MARKERS - Interstate highway mile post data has been stored in QuickMap and the individual mile post markers can be located by number.
- To use, open Tab 0-Layers and select the "Get Layers" command button
- Select "mpm" in the Layer Column if it is available for that county/city
- Select "Mile_Post" in the Column Name column
- Select the "Show" command button

- To search for a Mile Post, enter the Mile Post number in the "Search" field
- Select the "Search" command button
- The milepost marker will highlight with a flashing yellow circle
- Select the "Show" command button to display the marker and number

ADDRESS LAYER - Parcel Data is not available for all counties and cities in Virginia. Some municipalities have street names and point address information for new streets that is stored in the GIS but not readily viewable as normal "road centerlines" and street name data.

- To use, select "addr" from the Layer Name column
- Select ADDR from the Column Name column to view the address numbers
- Select FULLNAME from the Column Name column to view the street names
- Select the "Show" command button to display the address or fullname
- Select the "Search" command button to find one
Scope of Work

Dig site polygon matches excavation area
Change Management
Change Management

Why have a policy and procedure for changes?

To standardize all changes of current business processes to a formal procedure

– Using a managed and orderly method, changes are requested and communicated prior to implementation (when possible) then;
  • Reviewed
  • Approved
  • Logged
  • Tested

Goal: Minimize risk and impact to the business.
Current Location --> VUPS Central > Change Management

Change ID: 27
Issue ID: N/A
Requested Date: 
Requested Implementation Date: 
Actual Implementation Date: 
Title: 
Requested By: - Select Requestor -
Department: - Select Department -
Function: - Select Function -
Status: - Select Status -
Analysis Completed: 
Act/Rule Affected: 
Notification sent to SCC: 

File Path:
<table>
<thead>
<tr>
<th>ID</th>
<th>Issue ID</th>
<th>Date of Request</th>
<th>Requested Implementation Date</th>
<th>Actual Implementation Date</th>
<th>Title</th>
<th>Request By</th>
<th>Department Name</th>
<th>Function Name</th>
<th>Status Name</th>
<th>Change Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>26</td>
<td></td>
<td>8/11/2011</td>
<td></td>
<td></td>
<td>Changes to Pre-announcer</td>
<td>Deborah G. Horbauer</td>
<td>Information Technology</td>
<td>Call Switch</td>
<td>Approved</td>
<td>Change the definition of an emergency and the call flow of the pre-announcer for normal and after hour operations.</td>
</tr>
</tbody>
</table>

VUPS assigned a letter on July 26th, 2011.
Change Management Review

- Regular executive staff meetings
- Emergency meetings - as needed
VUPS Analysis Process

VIRGINIA UTILITY PROTECTION SERVICE

VUPS Analysis/Proposal

Office 365 Hosted Email

R Hogan
7/12/2011
VUPS Proposal / Analysis Report

Table of Contents

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I. Executive Summary:

The current VUPS email system resides on a single Microsoft Exchange server located at Blue Hills. With this single server configuration, this system represents a single point of failure for email. Due to the critical nature of email at VUPS, it is proposed that we transition to the cloud based Microsoft Office 365 solution. Office 365 gives VUPS email with globally redundant reliability using multiple locations and automatic failover capabilities. The service is financially backed with a 99.9% uptime guarantee. Other benefits of this cloud offering include software and hardware upgrades performed as needed with no additional cost to VUPS. The maintenance of this system by VUPS is minimal as all updates and server maintenance procedures are performed by Microsoft subject matter experts. Office 365 also provides online meeting features as well as team collaboration software and web based office applications. Along with this solution, VUPS will also benefit by consolidating licensing costs for Microsoft Exchange and Office products which are billed monthly, rather than a yearly expense with the current solutions. Long term costs for the Office 365 solution exhibit a significant cost savings in comparison to a redundant on-premises email solution. The cost over 6 years for the Office 365 solution would be $85,860, saving VUPS $80,440 when compared to an on-premises redundant email system.

II. Description – Process Change or Purchase:

Currently VUPS hosts a Microsoft Exchange 2007 server on premises to handle email for the company. An external filtering service is also in place to handle spam and virus filtering before email arrives at the server. We propose that this system be replaced with a hosted solution utilizing Microsoft Office 365. Office 365 is a hosted application solution that not only provides VUPS with email functionality, but also includes the integration of Microsoft Lync (similar to GoToMeeting or Webex), and SharePoint (a team/project collaboration platform). Along with these features, Office 365 also includes license options that allow us to consolidate our Microsoft Office licensing as well.

III. Detailed Solutions:
V. Appendix A: Cost Comparison

## Exchange & Office On Premises Compared To Office365

<table>
<thead>
<tr>
<th></th>
<th>Current On Premises</th>
<th>Redundant On Premises</th>
<th>Office365 Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exchange Server Licensing</td>
<td>$8,954.00</td>
<td>$2,172.63</td>
<td>$12,254.00</td>
</tr>
<tr>
<td>Exchange Hardware</td>
<td></td>
<td>$3,529.85</td>
<td>$3,529.85</td>
</tr>
<tr>
<td>Office Licensing</td>
<td>$200.00</td>
<td>$2,400.00</td>
<td>$200.00</td>
</tr>
<tr>
<td>Antivirus/Spam Filtering</td>
<td>$200.00</td>
<td>$2,400.00</td>
<td>$200.00</td>
</tr>
<tr>
<td>Online Meeting Software</td>
<td>$500.00</td>
<td>$900.00</td>
<td>$900.00</td>
</tr>
<tr>
<td>Sharepoint Licensing</td>
<td>$5,000.00</td>
<td>$5,000.00</td>
<td>$5,000.00</td>
</tr>
<tr>
<td>Sharepoint Hardware</td>
<td>$4,000.00</td>
<td>$4,000.00</td>
<td>$4,000.00</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$17,954.00</strong></td>
<td><strong>$200.00</strong></td>
<td><strong>$9,002.48</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>Current On Premises</th>
<th>Redundant On Premises</th>
<th>Office365 Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total Cost</td>
<td>Total Cost</td>
<td>Total Cost</td>
</tr>
<tr>
<td>Year 1 Total</td>
<td>$26,956.48</td>
<td>$40,183.85</td>
<td>$14,280.00</td>
</tr>
<tr>
<td>Year 2 Total</td>
<td>$40,958.96</td>
<td>$64,267.70</td>
<td>$28,560.00</td>
</tr>
<tr>
<td>Year 3 Total</td>
<td>$54,961.44</td>
<td>$88,351.55</td>
<td>$42,840.00</td>
</tr>
<tr>
<td>Year 4 Total</td>
<td>$66,163.92</td>
<td>$109,635.40</td>
<td>$57,120.00</td>
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<tr>
<td>Year 5 Total</td>
<td>$77,366.40</td>
<td>$130,919.25</td>
<td>$71,400.00</td>
</tr>
<tr>
<td>Year 6 Total</td>
<td>$97,968.88</td>
<td>$166,303.10</td>
<td>$85,680.00</td>
</tr>
</tbody>
</table>

*Current on premises solution (year 1) factors in licensing needed to bring Exchange to the latest version and the addition of Sharepoint licensing and hardware.

**Current on premises solution (year 6) factors in hardware costs to replace servers to meet typical additional requirements on new versions.

***Redundant on premises solution (year 6) factors in hardware costs to replace servers to meet typical additional requirements on new version.

![Graph showing cost comparison](image-url)
Continuous System of Improvement
CSI
CSI at VUPS

- A combination of process and database
  - Involves management review
  - Provides opportunities for continual improvement
How It Works

• An event or activity occurs
  – Is there conformity or nonconformity?
    • Relating to our processes/procedures
  – Did our process/procedure cause the issue?
Investigation

- Collect data
- Analyze information
- Determine root cause
- Set objectives
- Implement corrective and preventative actions
Corrective Action

• Outline steps to be taken to prevent recurrence
• Does our process/procedure need to change?
Preventive Action

• Proactively identify potential nonconformities in order to prevent their occurrence
  – Help Desk
  – Surveys
    • Caller survey
    • Membership Meeting surveys
    • Training surveys
<table>
<thead>
<tr>
<th></th>
<th>Department</th>
<th>Name</th>
<th>Date</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>12</td>
<td>Operations</td>
<td>Ted Woolard</td>
<td>8/8/2011</td>
<td>Red and organe paint cans were tossed into Mr Ted Woolard's field.</td>
</tr>
<tr>
<td>4</td>
<td>Human Resources</td>
<td>Dorothy Smith</td>
<td>8/5/2011</td>
<td>Improve on efficiencies for handing out payroll biweekly. Move the 13 employees who currently receive &quot;live&quot; checks to direct deposit. Elimate the paper check stub by accessing all information online.</td>
</tr>
<tr>
<td>9</td>
<td>Operations</td>
<td>Barbara Gleason</td>
<td>8/2/2011</td>
<td>Barbara Gleason with D &amp; E landscape is complaining that we should not be asking her all these questions. That she should not have to provide the county she is working in as all she has is Midlothian.</td>
</tr>
<tr>
<td>10</td>
<td>Operations</td>
<td>Sandra Wallace</td>
<td>7/31/2011</td>
<td>Home Owner, Sandra Wallace, reported on unmarked Compact car.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Vanessa Payne</td>
<td>7/31/2011</td>
<td></td>
</tr>
</tbody>
</table>
Record Loaded Successfully

ID: 4
VUPS Department: Human Resources
Issue Entered By: Nina Roop
Employee/DPS: -Select Employee-
Ticket#
Change DB ID:

Issue Source: Dorothy Smith
Issue Date: 08/05/2011
Team Leader: -Select Team Lead-
Matter of Concern

Category: Customer Service

Matter of Concern:

Improve on efficiencies for handing out payroll biweekly. Move the 13 employees who currently receive "live" checks to direct deposit. Eliminate the paper check stub by accessing all information online. Moving to a web based application so payroll can be processed for any computer.

Investigation:

Discussed the changes necessary with the sale rep for ADP.
Root Cause

Management Review
Notes:

VUPS Conformity:  Conformity
Audit Type:  Neither
Action Type:  Preventive Action
Criteria:  4.2.3 Control of documents
ISO

VUPS Conformity: Conformity
Audit Type: Neither
Action Type: Preventive Action
Criteria: 4.2.3 Control of documents

- a) to approve documents for adequacy prior to issue,
- b) to review and update as necessary and re-approve documents,
- c) to ensure that changes and the current revision status of documents are identified,
- d) to ensure that relevant versions of applicable documents are available at points of use,
- e) to ensure that documents remain legible and readily identifiable,
- f) to ensure that documents of external origin determined by the organization to be necessary for the planning and operation of the quality management system are identified and their distribution controlled, and
- g) to prevent the unintended use of obsolete documents, and to apply suitable identification to them if they are retained for any purpose.

Evidence:

ADP is offering a web based application that gives VUPS a back up for processing payroll. Currently, the HR Assistant must always be in the office the Tuesday prior to pay day to approve the time cards / Hours.
Action Plan / Follow-up

Action Plan:

Test

Date Entered: 08/05/2011
Action Required: 

Follow-up Notes:

Follow-up Date:

Effective:

Save
Master List of Documents
## Master List of Records

### Human Resources

<table>
<thead>
<tr>
<th>Doc #</th>
<th>Record</th>
<th>Rev #</th>
<th>Storage</th>
<th>Filed By</th>
<th>Retention Time</th>
<th>Disposition</th>
<th>Internal/External</th>
</tr>
</thead>
<tbody>
<tr>
<td>82094</td>
<td>401k Election/Change of Beneficiary Form</td>
<td>n/a</td>
<td>HR File room</td>
<td>Name</td>
<td>At least 6 yr after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>143710</td>
<td>401k Participant Deferral Contribution Change Form</td>
<td>n/a</td>
<td>HR File room</td>
<td>Name</td>
<td>At least 6 yr after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>149388</td>
<td>401k Employee Data Change Request</td>
<td>n/a</td>
<td>HR File room</td>
<td>Name</td>
<td>At least 6 yr after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>12729MUMEN</td>
<td>Anthem Life Short Term Disability Claim Form</td>
<td>3/10</td>
<td>HR File room</td>
<td>Name &amp; w/Anthem Life</td>
<td>At least 3 years after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>12730MUMEN</td>
<td>Anthem Life Long Term Disability Claim Form</td>
<td>3/10</td>
<td>HR File room</td>
<td>Name &amp; w/Anthem Life</td>
<td>At least 3 years after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>14459ANFNLRS</td>
<td>Anthem Life Beneficiary Designation Form</td>
<td>n/a</td>
<td>HR File room</td>
<td>Name</td>
<td>At least 3 years after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>AL-2114</td>
<td>Anthem Life Insurance Claim Form</td>
<td>n/a</td>
<td>HR File room</td>
<td>Name</td>
<td>At least 3 years after term</td>
<td>Shredded</td>
<td>External</td>
</tr>
<tr>
<td>HR-4011</td>
<td>Account Deactivation Checklist (completed at termination)</td>
<td>3</td>
<td>HR File room</td>
<td>EE File by name</td>
<td>At least 3 years after term</td>
<td>Shredded</td>
<td>Internal</td>
</tr>
<tr>
<td>HR-4012</td>
<td>Applicant Interview Summary</td>
<td>2</td>
<td>HR File room</td>
<td>EE File by name</td>
<td>At least 3 years after term</td>
<td>Shredded</td>
<td>Internal</td>
</tr>
<tr>
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# Master List of Documents

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## Outsourced Processes

### Information Technology

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<tbody>
<tr>
<td>Norfield Data Products</td>
<td>Ticket Entry, Web Ticket Management Software, and Phase I &amp; II Message Center, LOMS</td>
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<tr>
<td>Virginia Geographical Information Network</td>
<td>Orthos, Road Center Line (RCL) Updates</td>
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<tr>
<td>GoDaddy</td>
<td>Website hosting</td>
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<td>Microsoft</td>
<td>Office 365, Networking</td>
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<td>Professional Network Services</td>
<td>Avaya, Call switch, CWTG, Alert sever and archive ticket search, AT&amp;T, Internet, telecommunications, Cox Communications, Point to Point T1 Lines, Level 3, Point to Point T1 Lines, Verizon Wireless, Cell Phone Service, Lumos, Local PRI T1 Line</td>
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### Finance

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<td>Brown, Edwards &amp; Company</td>
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<tr>
<td>Enterprise</td>
<td>Rental cars</td>
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<tr>
<td>Hunton &amp; Williams</td>
<td>Corporate Legal Counsel</td>
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### Operations

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<td>GoTo Meeting</td>
<td>WTE User Training</td>
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### Public Awareness

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<tr>
<td>Access Public Relations</td>
<td>Marketing</td>
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<td>Joann Contracting</td>
<td>Customer Satisfaction</td>
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### Human Resources

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<td>Website hosting of online training module for WTE Users</td>
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<tr>
<td>SBK, Inc.</td>
<td>Newsletter editing and layout</td>
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<tr>
<td>Cox Communications / Comcast</td>
<td>Assisting in Statewide Campaign</td>
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<tr>
<td>Premier Innovations</td>
<td>Customized Handout Items</td>
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<td>Chalaine’s</td>
<td>Embroidered Apparel</td>
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<td>VA State Police</td>
<td>Background Check</td>
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<tr>
<td>Clint Morris</td>
<td>HR Legal Counsel</td>
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<td>National Testing Association, Inc.</td>
<td>Random selection drug testing</td>
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<td>Carilion Occupational Medicine</td>
<td>Drug testing</td>
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<td>ADP</td>
<td>Payroll</td>
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<td>Capital Retirement</td>
<td>401k</td>
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<td>Anderson &amp; Reed</td>
<td>401k Auditors</td>
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<td>Coventry / Southern Health</td>
<td>Health Insurance Provider</td>
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<td>Anthem Life</td>
<td>ST/LT Life Insurance Provider</td>
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<td>Dearborn National</td>
<td>Dental Insurance Provider</td>
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<td>One Calls of America</td>
<td>Vision / Voluntary Life / Travel Insurance Provider</td>
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<td>Bowers Insurance Group</td>
<td>Errors &amp; Omissions / Directors &amp; Organization / Business Insurance Provider</td>
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<tr>
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<td>COBRA Administration</td>
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Management Review
Management Review

- **Metrics**
  - Review & analyze

- **Audit Findings**
  - Internal
  - External

- **CSI Database**
  - Corrective / Preventive Actions
  - Opportunity for Improvement

- **Change Management**
  - Assess any risk prior to implementation
  - Create an implementation plan
System Improvements
System Improvements

- Independent consulting review of management processes
- Critical ASA Procedures
  - Built in delegation
- All reports are evaluated on a periodic basis by the CEO to determine the overall health of the organization
- Written processes has made jobs easier to replicate
- Improved consistency in all areas and departments
- One location for all information (Document control)
VUPS Moving Forward

• Identifying Opportunities for Improvements
• Training
  – Root Cause Analysis
  – Record & Document Control
    • Ensure all documents are placed within PolicyTech
    • Ensure consistency
    • Annual review of documents
  – Internal Audit Team
Employee Feedback

“Adds value to what we do and makes us better” – Help Desk

“Consistency is the key.” – DPS

“I can always find what I’m looking for in PolicyTech.” – Help Desk

“Continual improvement can always be a good area to focus on – particularly regarding customer service.” – DPS

“The consistent review allows us to improve our procedures.” – Management

“Design & Development folders work, keeps things more organized, better defines the design process makes me keep track of dates and determines whether it’s an input, revision or output.” – IT Department
Q & A

Thank You