

# Investigations and Audits Division (IAD) Customer Service Audit

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Black Belt Project



## Background Information

- PUCO IAD staff conduct customer service audits of regulated electric, gas and water utility companies
- The audits review customer service, performance practices, and procedures to ensure compliance with current rules and regulations
- Audits are conducted based upon an audit schedule which is determined annually
- Audits were scheduled based upon size of the utility company

## Problems/Opportunities

- Audit process was taking approximately four months to complete
- Audit schedule required ten audits per year (which was being met) but also required four audits of large utility companies (gas, electric/water) per year which meant smaller gas companies were not being audited
- Missed violations and errors in the audit reports were causing delays in the completion of audits

## Goals and Deliverables

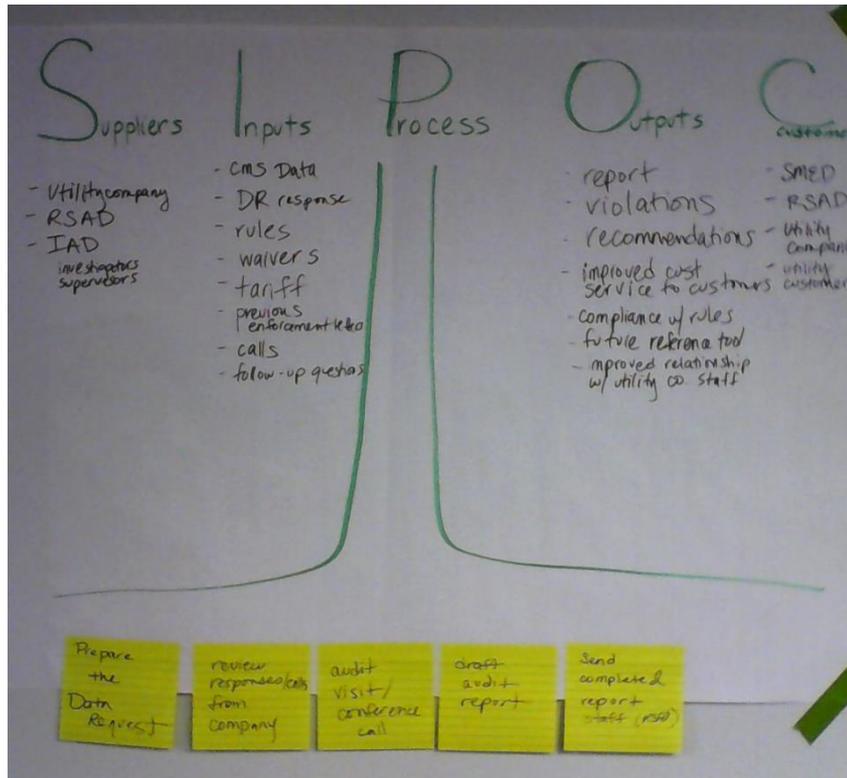
- Decrease the cycle time of the audit process
- Reduce the number of steps in the audit process
- Increase the number of small gas utility audits
- Reduce the percentage of errors/missed violations in the final report
- Updated Data Request, Audit Report, and Audit Checklist

## IAD Customer Service Audit Project Team



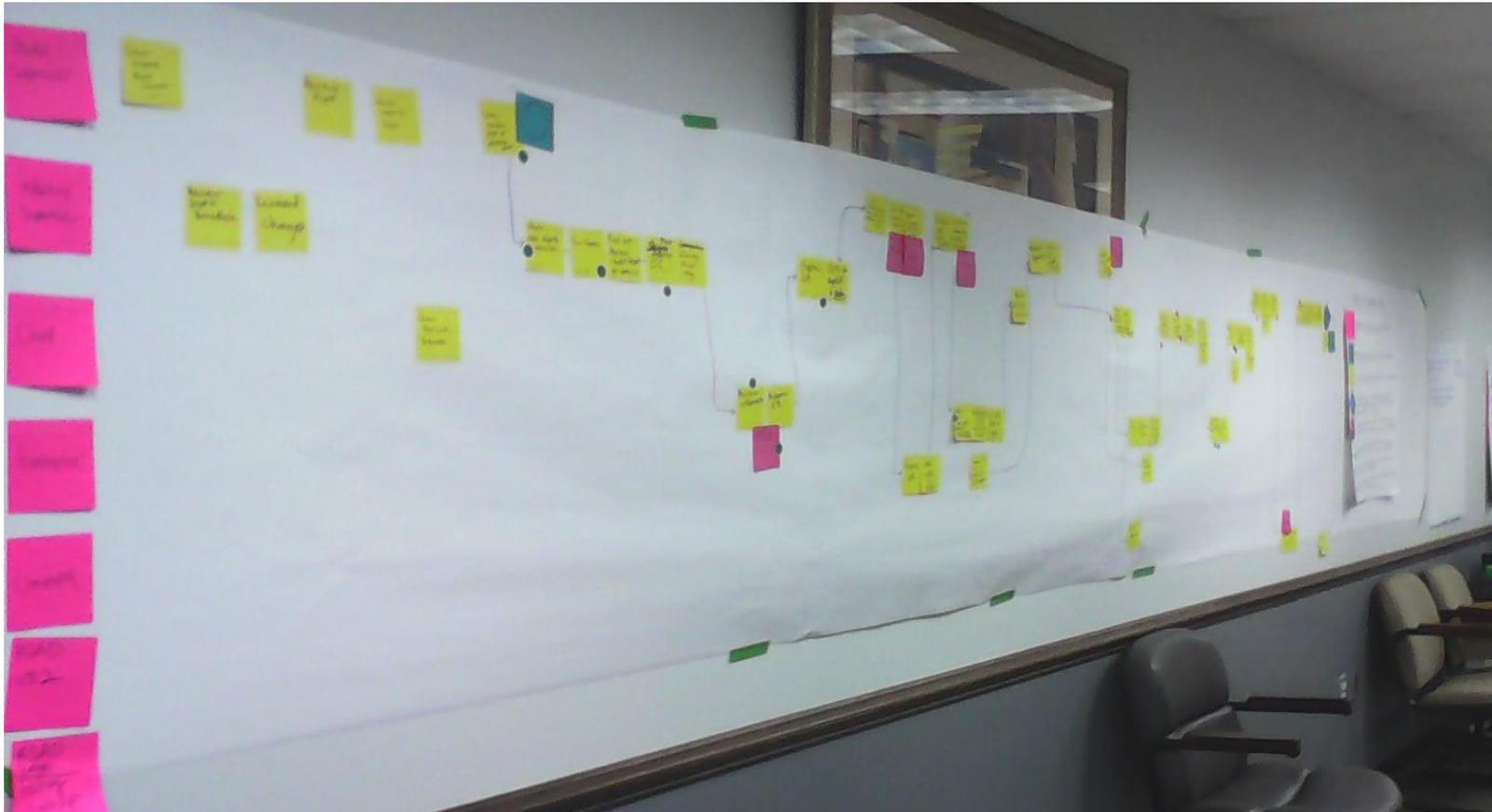
Team Members: Pete Baker, Nedra Ramsey, Beth Blackmer, Cindi Mack, Nicole Moore, Pete Chace, Casey Cannon ODT (Facilitator )  
Andrea Smith, Mary Vance ( Not Pictured: Marina King ODT  
Mentor/Facilitator)

## SIPOC



First Step: Audit Schedule Determined  
Last Step: Audit Report Issued

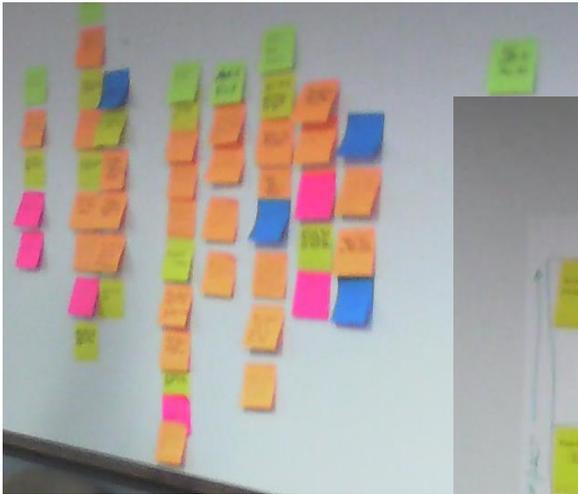
# Process Mapping – Current State



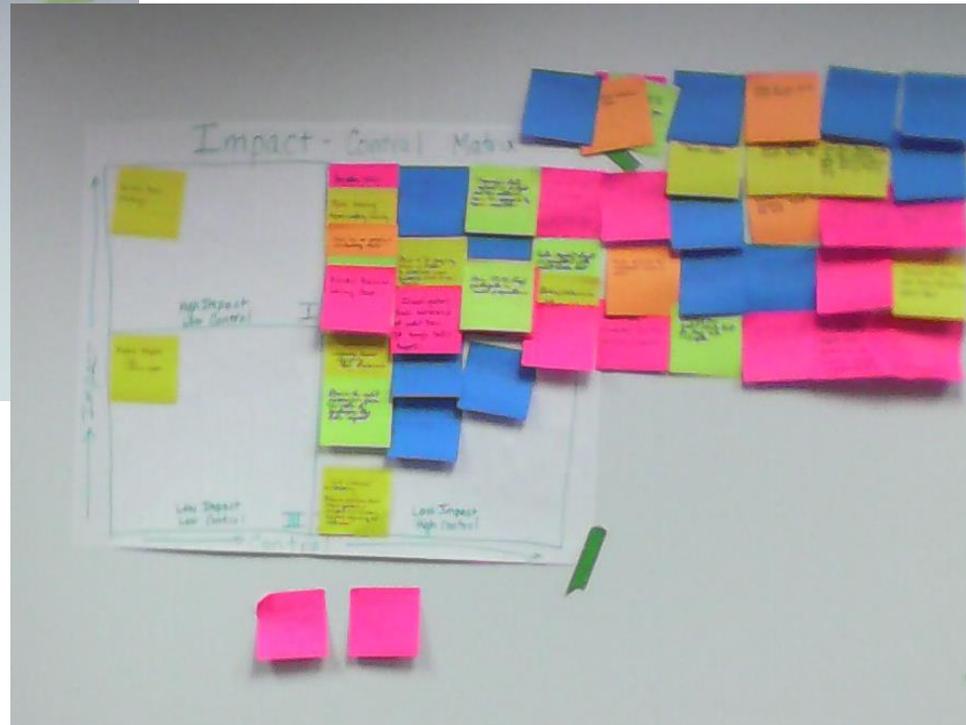
## Problems/Opportunities

- Multiple investigators worked together on audit report
- Investigators were spending multiple hours monitoring approximately 100-150 calls per audit
- Lengthy Data Request with questions needed to be updated; responses were similar year after year
- Multiple levels of review and the end product was still not free from errors
- Unclear expectations/lack of training for staff

# Brainstorming Problems/Solutions



Brainstorming

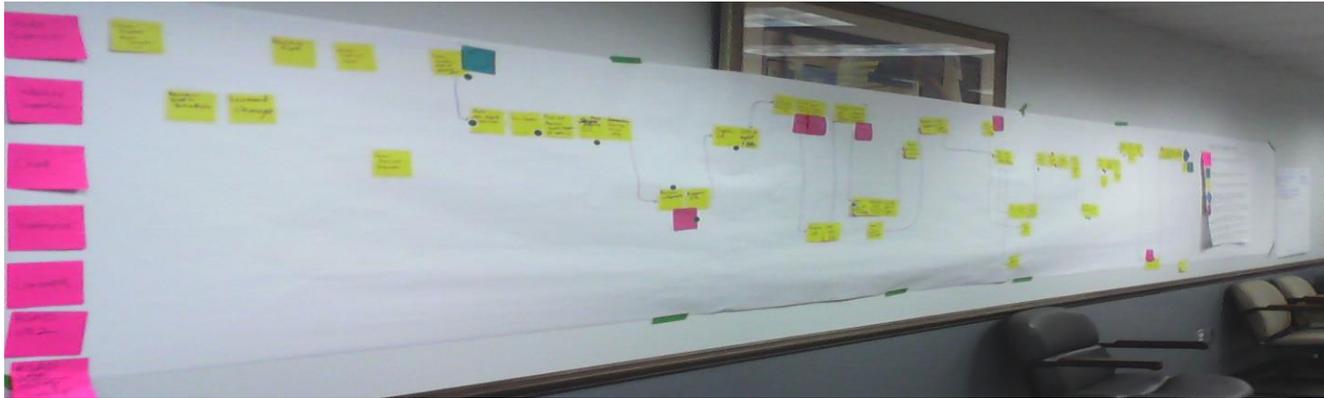


Impact-Control Matrix

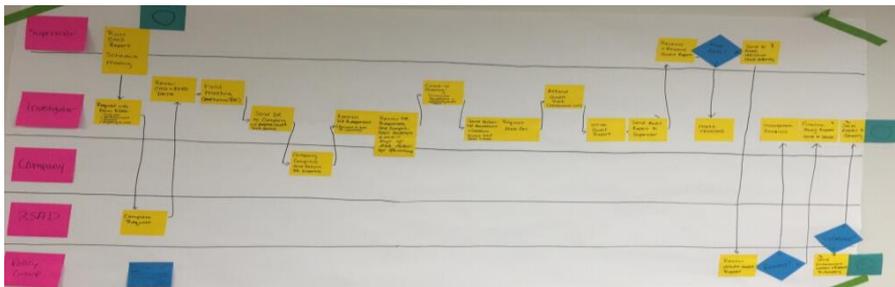
# Clean Sheet Re-design



## Process Map: Current State



## Process Map: Future State



## Major Changes

- One investigator completes the entire audit
- Cross-training of investigators
- Each investigator works with direct supervisor during audit process
- Investigators only monitor calls at site visit
- Audit Manual and Industry Checklist provided to assist with the audit process
- Industry Checklist also serves as the Audit Report

## Audit Checklist / Report

O.A.C 4901:1-15-16 Notification of Customer Rights	S	U	N/A	N/C
(A) Each company shall provide to new customers, and to existing customers upon request, a summary of their rights and obligations under these rules. The notice shall be delivered by mail or in person.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<p>The notice must include:</p> <ul style="list-style-type: none"> <li>(A)(1) A description of the complaint procedures available at the company and the Commission, including a local or toll free telephone number. The following statement must also be included:                       “If your complaint is not resolved after you have called (name of utility), or for general utility information, residential and business customers may contact the Public Utilities Commission of Ohio (PUCO) for assistance at 1-800-686-7826 (toll free) from 8 a.m. to 5 p.m. weekdays, or <a href="http://www.puco.ohio.gov">http://www.puco.ohio.gov</a>. Hearing or speech impaired customers may contact the PUCO via 7-1-1 (Ohio relay service).                       The Ohio Consumer’s Counsel (OCC) represents residential utility customers in matters before the PUCO. The OCC can be contacted at 1-877-742-5622 (toll free) from 8 a.m. to 5 p.m. weekdays, or <a href="http://www.pickocc.org">http://www.pickocc.org</a>.”</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>(A)(2) A listing of the rights and obligations of customers relating to the installation of service, payment of bills, disconnection of service, reconnection of service, and testing of meters and of the utility’s business office and availability of customer representatives.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>(A)(3) A description of the customer’s rights regarding the holding and demanding of a security deposit by the company; and any other methods used by the company to establish a residential customer’s creditworthiness, as set for the in the company’s tariff and OAC 4901:1-17.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>(A)(4) A statement that the customer has a right to see a proper company photo identification whenever company employees or agents seek access to the customer’s premises.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>(A)(5) A statement that the company’s rates, rules and regulations (tariff) are available for review on request.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>(A)(6) Customer notification of the availability of a medical certificate.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> <li>(A)(7) A statement that he Commission has adopted a comprehensive set of minimum standards for waterworks and/or sewage disposal system companies, as set forth in this chapter which is available from the company or the Commission for review on request.</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Benefits

- Audits easier to complete
  - Data Request updated
  - Checklist incorporated into final report
  - Templates available for staff to use
- Ability to audit more small gas companies
- Investigators receive direct feedback when supervisor or Reliability and Service Analysis Division give comments/revisions
- Ownership of investigator's work

## Changes to Process

Current State		Future State		% Change
Steps	55	Steps	22	60%
Delays	6	Delays	1	83%
Decisions	3	Decisions	3	—
Cycle time	127	Cycle time	67	47%

## **Cost Avoidance**

### **Meetings:**

\$19,162 per year

### **Call Monitoring:**

\$450 - \$600 per audit

## Implementation Plan

Implementation Plan

What	Who	When	Notes
DR Email Template to Co.	Nicole	by 3/27	
Audit Report Letter w/o Violation to Co.	Nicole	by 3/27	
Audit schedule	Nicole / Supervisors	by 3/27	Mary Beth Nedra
Audit <sup>Report/</sup> Checklist Refinement	Supervisors/Nicole Tina	Sups - 3/27 Nicole - 4/8 Tina - 4/10	Sup send to Nicole Nicole send to Tina Tina formatting
Data Requests	Supervisors RSAD - Det. Taja, Jake	Sups - 4/3 RSAD - 4/10	Sup re-send to RSAD
Updating Shared Folder Email	Nicole	by <sup>E.P.B.</sup> 3/20	send to supervisors
Mini-Report Out	Cindy/Nicole	by 3/24	multiple sessions RSAD/AD
Final Report Out	Team	week of 4/6	
Audit Manual	Nicole	by 4/24	
Rollout to IAD <small>(training)</small>	Nicole Supervisor Teams	by 4/30	Overview checklist (rules) DR Audit manual (3 meetings) schedule
Schedule 30-60-90 120-1yr Follow-up	Nicole/Cindy		

## Next Steps

- Update Data Requests
- Update Audit Checklists/Reports
- Audit Manual
- Training for IAD staff
- Follow-up Meetings

# Update

## Audits Completed

- Before Lean Event: 10 (12 month time-period)
- After Lean Event: 11 (6 month time-period)

## Audit Cycle Time

- Before Lean Event: 127 days
- After Lean Event: 75 days

## Missed Violations/Report Errors

- Before Lean Event: Numerous audits/every report
- After Lean Event: No missed violations/much fewer errors in reports

## Special Thanks!

- PUCO Senior Leadership
- Sponsor: SMED Director John Williams
- Mentors/Facilitators: Marina King & Casey Cannon
- Team Leader: Nicole Moore
- Team Members