

## Compliance Tracking

**Agency:** Utilities and Transportation Commission

### Project Impact

The Utilities and Transportation Commission improved the process for tracking compliance requirements for regulated companies in commission issued orders, resulting in an 89 percent increase of compliance items entered into the tracking system.

Compliance tracking is essential to ensure that regulated companies are following state and federal rules and regulations. Effective tracking allows commission staff to identify and evaluate areas of concern or improvement opportunities in areas of consumer protection and public safety.

### Project Summary

The UTC identified the need to centralize compliance tracking in commission orders to ensure regulated companies are held accountable for complying with commission regulations.

A compliance filing is defined as follows: WAC 480-07-880 (1) – “When the commission enters a final order that authorizes or requires a party to make a filing to implement specific terms of the order with respect to the issues resolved in an adjudicative proceeding by implementing a precisely defined result, the filing is a ‘compliance filing.’”

As a part of the commission’s post-order process, compliance tracking tools are required to ensure the requirements specified in orders are completed by regulated companies.

Compliance requirements were entered into the electronic compliance tracking system 10 percent of the time, compared to the target of 99 percent.

A project team used the *Seven Step Problem Solving Process* to identify the root causes behind the compliance tracking problem.

The team then implemented the following improvements:

- created a standard, centralized process for entering compliance items into the system, moving the responsibility of entry from the case lead (more than 40 individual staff responsible) to one person; and
- streamlined and created a standard format for compliance requirements written into the commission’s orders to help staff and regulated companies easily find requirements.

## Project Results

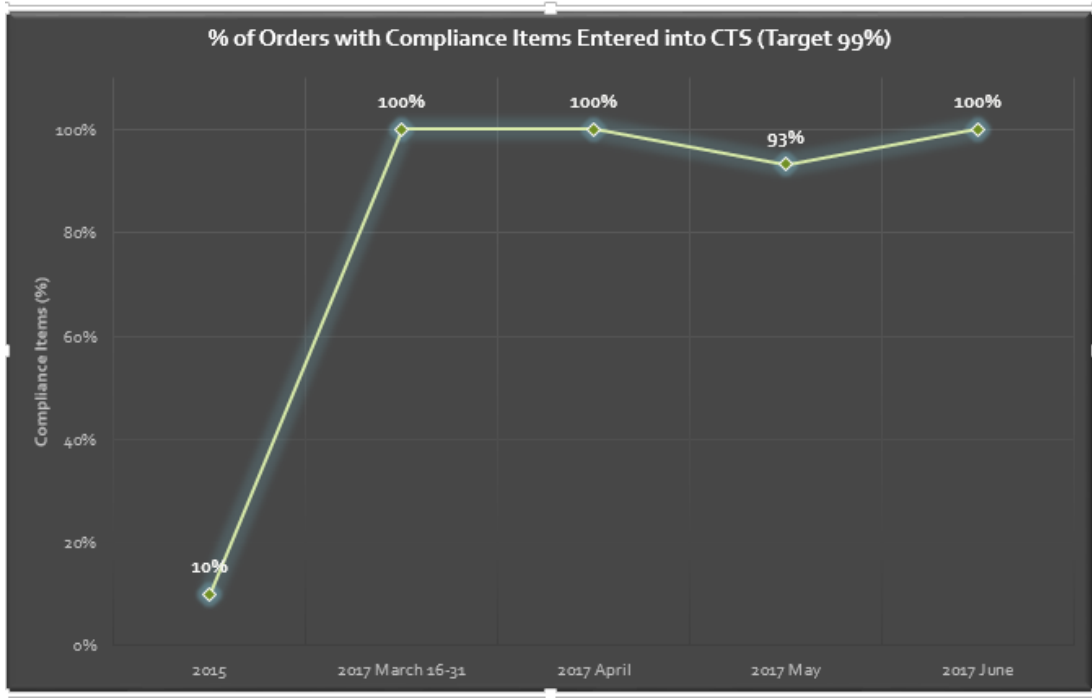


Increased the amount of compliance items entered into the tracking system **from** approximately 10 percent **to** approximately 99 percent.



89 percent increase in compliance items entered.

# Strategic Lean Project Report



## Project Details

**Date improvement project was initiated: 2/1/2016**

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