PUBLIC UTILITY / PUBLIC SERVICE COMMISSION TECHNOLOGIES

EFFICIENCIES AT WORK

BOB GRAMOLA, DIRECTOR OF ADMINISTRATION & FINANCE PENNSYLVANIA PUBLIC UTILITY COMMISSION 2/9/2020

2 ITEMS TO COVER:

> CASE MANAGEMENT & DOCKETING SYSTEMS

> E-FILING

> CONVERSION FROM PAPER TO DIGITAL

> OTHER TECHNOLOGIES

> Q&A

3 CASE MANAGEMENT / DOCKETING SYSTEMS

- Case management software has two primary functions:
 - it helps to better use, manage, consolidate, share, and protect information
 - it tracks and shapes the business process
- Because the most useful forms of such software can integrate data from multiple systems, departments, users, and business entities, its use can increase an organization's business advantage
- In the government sector, it offers efficiencies and cost savings and helps better serve the constituents that seek our services

4 CASE MANAGEMENT / DOCKETING SYSTEMS

- There are numerous companies that offer these systems, some that tailor their applications specifically for PUC / PSC workflows
- Several states have engaged some of these vendors to deploy these systems
- Some examples:
 - Dorger Software Solutions (Louisiana)
 - Micropact (North Carolina)
 - Softek (Washington, DC)
 - Unisys (Pennsylvania)
- These solutions take an "off the shelf" product and customized it to fit the needs of the specific commission

5 CASE MANAGEMENT / DOCKETING SYSTEMS

- Pennsylvania's System - InfoMAP (IBM-FileNet/Java/SQL)
 - Case Management System in-baskets, task assignments and workflows
 - Role based application
 - Document Management version control and document security
 - Automatic docket publishing to the Commission website
 - Pulls revenue information from Assessment database
 - Standard and Customized Reports

6 INFOMAP CASE REVIEW

Case Information Additional Ca	ase Information Public Meeting Information Task Information		A
* Bp8CaseID:	2644278	Parent Case Number:	
Docket Number:	C-2018-2644278	* Case Priority:	Low 👻
Case Type:	Formal Complaint	Initiating Document Type:	Insurance Complaint
* Case Status:	Active	* Responsible Bureau:	Bureau of Investigation & Enforcement
Utility Code:	8918252	Reference Utility Codes:	No items to display -
* Utility Type:	Truck	Utility Name:	GUARDIAN TRANSPORTATION OF AMERICA LLC
* Service Type:	Truck	Date Filed:	1/23/2018
Applicant:			BI&E COMPLAINT ALLEGING FAILURE TO MAINTAIN
Respondent:	GUARDIAN TRANSPORTATION OF AMERICA LLC	Allegation:	EVIDENCE OF LIABILITY INSURANCE AND CARGO INSURANCE ON FILE WITH THIS COMMISSION
Complainant:	BUR OF INVESTIGATION & ENFORCEMENT		
Reference Bp8CaseIDs:		Reference Docket Numbers:	
Case Description:		Case Comments:	TAS COMPLAINT FOR VARIOUS VIOLATIONS SERVED FOR ANSWER OR FINE OF \$500 DUE 3/5/18
EFiling Confirmation Number:		Major Case:	

7 INFOMAP CASE DOCUMENT REVIEW

Documents]		
Refresh			
lome	Name		Type Of Document
	2018-FINE-000019		
	2644278-Violation 1		
	8918252 Fine Dunning.pdf		Past Due Letter 1
_	Answer to Commission Complaint - Guardian Transportation		Answer to Commission Complaint
	C-2018-2644278 bie complaint letter.d	ос	Secretarial Letter
	ComplaintLetter201812363533-196.do	сх	Insurance Complaint
	Guardian Transportatio of America, LI PROPERTY Cancellation Letter (Received).doc	LC -	Default Order
<			>

8 INFOMAP TASK HISTORY

Date Created	 Action 	User	Task Number	Bureau	Reason	Comments
Date Created	* ACHON	User	rask number	Bureau	Reason	
02/28/2019, 03:06:08 PM	Send to Financial Chief for Review	Pomeroy, Cassi	2644278-ADM-0007	ADM	Other - See Comments	Needs assigned to Robert for referral to AGs. Fine not paid.
02/28/2019, 04:46:22 AM	PendUntil Date Expired	Pomeroy, Cassi	2644278-ADM-0007	ADM	PendUntil Date Expired	PendUntil Date Expired
01/24/2019, 10:16:42 AM	Pend Task	Pomeroy, Cassi	2644278-ADM-0007	ADM	For TAS to Process	Pended Until 2/28/2019 12:00:00 AM
01/24/2019, 04:46:40 AM	PendUntil Date Expired	Pomeroy, Cassi	2644278-ADM-0007	ADM	PendUntil Date Expired	PendUntil Date Expired
01/09/2019, 11:44:26 AM	Notification Reviewed	Stover, April	2644278-BIE-0008	BIE	Notification Reviewed	
01/07/2019, 12:56:06 PM	Pend Task	Pomeroy, Cassi	2644278-ADM-0007	ADM	For TAS to Process	Company is requesting rescission of fine amount. Awaiting TUS response to company. Pended Until 1/24/2019 12:00:00 AM
01/07/2019, 12:00:08 PM	Document Published on Web	Jacob, Diane			Document 'Answer to Commission Complaint - Guardian Transportation' is made public	{37169C5A-E411-4997-8DAC-217F539DC252}
01/07/2019, 11:52:39 AM	System Activated	System				System Activated
01/07/2019, 11:52:37 AM	Automatic Notification Sent to BIE	FileNetApp,PUC		BIE		Notification for BIE Administrator
01/07/2019, 11:52:37 AM	Document Attached to Case	Jacob, Diane			Answer to Commission Complaint - Guardian Transportation	Guardian Transportation of America LLC filed answer to Commission complaint.
12/21/2018, 08:02:54 AM	Pend Task	Pomeroy, Cassi	2644278-ADM-0007	ADM	Sent 1st Dunning Letter	Pended Until 1/24/2019 12:00:00 AM
12/21/2018, 08:02:36 AM	Document Added	Pomeroy, Cassi		ADM		Document '8918252 Fine Dunning.pdf' Added To Case
08/13/2018, 02:15:20 PM	Assign Staff	Hess, Yvonne	2644278-ADM-0007	ADM	Fine	
07/23/2018, 01:20:20 PM	Document Published on Web	SYSTEM			Document 'Guardian Transportatio of America, LLC - PROPERTY Cancellation Letter (Received).doc' is made public	{433F1EB0-262B-CC79-8437-64C81D000000}
07/23/2018, 01:14:49 PM	Document Served	Wagner, Nathan R	2644278-SEC-0006	SEC	Other - See Comments	Cancellation Sec Letter Served 7/23/2018
07/23/2018, 01:14:24 PM	Initiate Task - Compliance	Wagner, Nathan R		SEC	SEC Initiated Task(s)	FINE
07/23/2018, 01:14:22 PM	Initiated Task	Wagner, Nathan R	2644278-ADM-0007	SEC		ADMCompliance
07/23/2018, 01:13:00 PM	Fine Added	Wagner, Nathan R			Fine Added - UtilityCode 8918252	Fine Amount - 500.0
07/23/2018, 01:07:42 PM	Serve Document & Close	Canzoneri, David B	2644278-TUS-0005	TUS	Please Serve Cancellation Letter & Cancel Carrier's Authority	
07/23/2018, 01:07:05 PM	Document Added	Canzoneri, David B		TUS		Document 'Guardian Transportatio of America, LLC - PROPERTY Cancellation Letter (Received).doc' Added To Case
07/00/0040 04:40:00 084	A	Discourse Dahad	2044270 TUO 0005	7110	0	Assigned to D Canzoneri to prepare default letter and

Export to Excel Print



 Bureau Folders BAS 	Refresh	Add Document New Folder	Properties	Actions	-				
Common Project Folders	Bureau Fol	ders Common Project Folders							
▶ 📩 DIR		Name	 Type Of Do 	cument	Date Served	Received Date	Added By	Added On	Modified By
F HR		@World War 2 and the PUC					FilenetApp, PUC	1/31/2017, 11:04 AM	PCSVCDFN, PC
MIS	-	2007 Quarterly Earnings Reports					ashellenha	5/16/2008, 11:47 AM	ashellenha
PCDOCS Exceptions Public Documents	-	2009 Budget Information & Templates					msobolesky	7/21/2008, 4:19 PM	msobolesky
Special Assignments	-	2010 Budget Information & Templates					msobolesky	7/29/2009, 4:17 PM	FilenetApp, PUC
		2017 MIS O365 and PC Rollout					Anderson, Damon	7/12/2017, 7:44 AM	Anderson, Damor
	-	Act 129 Implementation					kmoury	10/24/2008, 1:26 PM	kmoury
	-	Act 13					Lathrop, Bobbi (PUC)	4/27/2012, 12:45 PM	Lathrop, Bobbi (P
	-	Anniversary of Electric Competition					lhess	1/20/2017, 10:34 AM	lhess
	-	APPEAL LOGS					FilenetApp, PUC	1/21/2008, 8:22 PM	Bowman, Robin
	-	Appellate Calendar					FilenetApp, PUC	1/21/2008, 8:46 PM	Bowman, Robin
		Areas of Expertise					lhess	2/3/2009, 3:56 PM	FilenetApp, PUC
	-	BCS Release of Info					FilenetApp, PUC	1/21/2008, 9:19 PM	FilenetApp, PUC
		Black Sky Project					Searfoorce, Daniel	3/3/2016, 8:02 AM	Searfoorce, Danie
		Budget Briefing Books					PCSVCDFN, PC	5/26/2011, 3:23 PM	Shumberger, Lori
	1	Budget Hearing Book					PCSVCDFN, PC	5/26/2011, 2:41 PM	Lathrop, Bobbi (P
	-	Budget Request Book (Blue Book)					Lathrop, Bobbi (PUC)	10/1/2014, 9:30 AM	Lathrop, Bobbi (P
	-	Budget Requests					PCSVCDFN, PC	5/26/2011, 3:16 PM	Lathrop, Bobbi (P
	-	Bundled Bill Rulemaking					mfrymoyer	5/8/2008, 11:25 AM	mfrymoyer
	-	Bureau Contacts					FilenetApp, PUC	1/21/2008, 8:48 PM	lhess
		Bureau Directors Information					FilenetApp, PUC	1/21/2008, 9:35 PM	FilenetApp, PUC
		Bureau Presentations					Lathrop, Bobbi (PUC)	10/29/2008, 12:11 PM	lhess
	-	CAI Information					Romage, Daniel	3/16/2014, 12:07 PM	bschreffle
	-	CAI Requests					Depew, Nancy	8/10/2017, 2:42 PM	Depew, Nancy
	-	Chapter 14 Working Group Recommendations					Pyle, Cherie	1/20/2012, 3:31 PM	kmoury
		COG Plans					FilenetApp, PUC	1/21/2008, 9:17 PM	sarmiller
		Commissioners					lhess	4/28/2010, 11:28 AM	lhess
		Committees and Working Groups					lhess	2/19/2015, 3:50 PM	lhess
		Consumer Advisory Council					FilenetApp, PUC	1/21/2008, 8:41 PM	FilenetApp, PUC
	-	Credit Ratings					dakirkwood	7/7/2009, 8:30 AM	FilenetApp, PUC
	-	Critical Infrastructure Interdependency Working Group					Searfoorce, Daniel	4/4/2014, 9:33 AM	Searfoorce, Danie
	-	EDC Consumer Ed Plans					Shumberger, Lori K	11/8/2010, 3:47 PM	FilenetApp, PUC
	<								>

IO INFOMAP SAMPLE SEARCH

me contains	AUD Task History 🗙					
Recent Searches	Search Criteria: Class: AU	D Task History Search in	n: ICMRegion0 Search optic	ons: Released version Property	options: Match all	
C LAW Task History	Assigned Staff:	Like	•			
All Searches	Assignment Due Date:	Equals	■ M/d/yyyy			
ALJ Task History	Assignment Due Date:	Between	■ M/d/yyyy	and M/d/yyyy		
Q AUD Task History	Assignment Name:	Like	•			
Authority BCS Task History	Assignment Type:	Like	-			
C Bond Information	Bp8CaseID:	Equals	•			
CEP Task History	Date Served:	Equals	▼ M/d/yyyy			
COM Task History	Date Served:	Between	▼ M/d/yyyy	and M/d/yyyy		
DIR Task History Document	Date Task Assigned:	Equals	▼ M/d/yyyy			
Q Document Version	Date Task Assigned:	Between	▼ M/d/yyyy	and M/d/yyyy		
C EGS Territories Service	Date Task Closed:	Equals	▼ M/d/yyyy			
Electric and Gas Suppl Fee	Date Task Closed:	Between	■ M/d/yyyy	and M/d/yyyy		
Find Documents to be Fine	Docket Number:	Like	-			
G FUS Task History	Initiating Bureau:	Equals	•			
Q HR Personnel Folder	Last Action:	Like	-			
C HR Task History	Lead Staff Member:	Like	-			
LAW Task History Microfilm Record	Old Agenda Number:	Like	-			
NGS Territories Servic NGS Utilities Providing	Order Entered Date:	Equals	■ M/d/yyyy			
Q OLA Task History	Order Entered Date:	Between	■ M/d/yyyy	and M/d/yyyy		
OSA Task History Party of Record	Public Meeting Agenda Numb	er: Like	•			
Payment Photocopy Request	Public Meeting Date:	Equals	▼ M/d/yyyy	FFFF		
Q Physical File Checkout	Search Reset	Results Display	Keep search criteria open			

II INFOMAP SAMPLE REPORT

Task Status Date Filed F Bureau	Range (All Tasks Option	ADM	d Next 🔍 • (☑ NULL End Date Report Si ② 🖨 🕄		d Bureau V	
Case ÷ ID	Docket ≎ Number	Utility Name	Case Type	Bureau ≎ Assignment Date	Days ≎ Assigned to Bureau	Orig ≎ Assigned Date	Days ≎ Since Originally Assigned
3005040	C-2018-3005040	MADONNA ENTERPRISES	Formal Complaint	2/5/2019 2:38 PM	44		
3005190	C-2018-3005190	JACOB R GELSINGER	Formal Complaint	2/5/2019 2:45 PM	44		
3005373	C-2018-3005373	GARY POLZOT	Formal Complaint	2/5/2019 4:39 PM	44		
3005451	C-2018-3005451	MATTHEW SMITH	Formal Complaint	2/5/2019 4:04 PM	44		
3005554	C-2018-3005554	3 T SOLUTIONS LLC	Formal Complaint	2/5/2019 4:11 PM	44		
2641950	C-2018-2641950	WILLIAM D MERCER JR	Formal Complaint	2/7/2019 4:50 PM	42		
3006029	C-2018-3006029	SEYBERT TRANSPORTATION SERV,INC	Formal Complaint	2/21/2019 1:38 PM	28		
3006113	C-2018-3006113	ARK TRANSPORT LLC	Formal Complaint	2/21/2019 1:56 PM	28		
3006161	C-2018-3006161	RUNNERZ LLC	Formal Complaint	2/21/2019 1:35 PM	28		
3000186	C-2018-3000186	PESARCHICK HAULING & COAL SALES LLC	Formal Complaint	2/25/2019 2:59 PM	24		
3005540	C-2018-3005540	CONNECTIONS TRANSWAY LLC	Formal Complaint	2/25/2019 3:18 PM	24		
3005550	C-2018-3005550	WYOMISSING CAR SERVICE AND TAXI LLC	Formal Complaint	2/25/2019 4:49 PM	24		
3005814	C-2018-3005814	HIGH CLASS TAXI LLC	Formal Complaint	2/25/2019 6:10 PM	24		
2643836	C-2018-2643836	PUCKETT, JOYCE JOYNER	Formal Complaint	2/28/2019 5:22 PM	21		
3008205	M-2019-3008205	TRI COUNTY TRANSIT SERVICE,INC.	Miscellaneous	3/1/2019 6:27 PM	20		

I2 E-FILING

- eFiling permits consumers, utilities and attorneys to file certain documents electronically with the Commission without filing paper copies, serve documents electronically on other parties if they agree to such service, and to receive electronic service of documents from the Commission. The eFiling process is intended to permit individuals to initiate formal proceedings with the Commission by the filing of a Qualified Document.
- eFiled documents have a file size limit of 10 megabytes (MB).
- In addition, users can sign a waiver to have documents served on them electronically (e-Service) rather than by certified mail.

I3 SAMPLING OF QUALIFIED DOCUMENTS

- Adjustment Clause Rate Adjustments
- Affiliated Interest Agreements
- Annual Reports
- Applications
- Asset Optimization Plans
- Complaints
- Objection to Assessments

- Petitions
- Rate Increases
- Request for Advisory Opinions
- Request for Review of Ordinances
- Securities Certificates
- Statutory Complaints
- Tariffs

4 E-FILING

EASY ACCESS FROM PUC WEBSITE

WWW.PUC.STATE.PA.US

	PENNSYLVANIA PUBLIC UTILITY COMMISSION	FOLLOW Google Custo Search for Do	om Search	z in 🧿
CONSUMERINFO	UTILITY &INDUSTRY	FILING&RESOURCES	ABOUTPUC	CONTACTUS
 Welcome Login 	Welcome to eFiling		Login to eFiling	<u>Contact Us</u> Search
Create Account	eFiling News & Updates			
Technical Assistance eFiling FAQs		it of 10 megabytes (MB). Check out eFilin	a Cubaarintiana far instructiona	an urbu
		ist of qualified documents that are eligible rements. The PUC also began the <u>Elimin</u>		
	eFiling permits consumers, utilities and attorneys documents electronically on other parties if they a eFiling process is intended to permit individuals to those Qualified Documents can be obtained by cil their name, the party they represent, their address	gree to such service, and to receive electro initiate formal proceedings with the Comr icking <u>here</u> . When registering to use eFilin	ronic service of documents from mission by the filing of a Qualified g, eFilers will be asked to provid	the Commission. The d Document. A listing of de information, including
	documents electronically on other parties if they a eFiling process is intended to permit individuals to those Qualified Documents can be obtained by cli	gree to such service, and to receive electr initiate formal proceedings with the Commicking <u>here</u> . When registering to use eFilin s and their email address if they agree to r commission, you will first need to create an	onic service of documents from mission by the filing of a Qualifie g, eFilers will be asked to provid eceive service of documents ele n eFiling user account. If you have	the Commission. The d Document. A listing of de information, including actronically.
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	documents electronically on other parties if they are Filing process is intended to permit individuals to those Qualified Documents can be obtained by cli- their name, the party they represent, their address In order to electronically file documents with the C eFiling user account, you can create an <u>individual</u> For an explanation of how to create an eFiling acc Large Filing Guidelines - Guidelines when filing If you do not wish to file electronically, you should	gree to such service, and to receive electronic initiate formal proceedings with the Commicking here. When registering to use eFilin s and their email address if they agree to romission, you will first need to create an al account or a corporate account at any count and how to electronically file docume 250+ pages with the Commission. If lie a paper document with the Secretary the commissions formal rules at 52 Pa. Composed and the commissions formal rules at 52 Pa. Composed and the commissions formal commissions formal commissions formal commissions formal commissions formal rules at 52 Pa. Composed and the commissions formal commissions format commi	onic service of documents from mission by the filing of a Qualifier g, eFilers will be asked to provid eceive service of documents ele neFiling user account. If you have time. ents, please review the <u>Quick eff</u> of the Commission at P.O. Box 3 <u>de Section 1.1 et seq</u> . mission hearings and/or process	the Commission. The d Document. A listing of de information, including ectronically. ve not yet created an <u>Filing User Guide</u> . 3265, Harrisburg, Pa. ses, you may wish to
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15 REDUCTION / ELIMINATION OF PAPER COPIES

- The success of an e-filing system can be measured by the number of paper documents that were filed compared to those that are now done electronically. E-filing was formally initiated in Pennsylvania in 2011. In that year we had 22,558 filings.
- By 2016 e-filings and paper filings were a 50 / 50 split and in 2017 we exceeded the number of paper filings.
- In 2019 the commission had over 28,000 filings with over 60% e-filed.

I6 ELIMINATION OF PAPER COPIES (CONT.)

YEAR	TOTAL FILIINGS	PAPER FILINGS	E-FILIINGS
2011	22,558	17,414	5,144
2012	24,722	16,597	8,125
2013	23,694	14,787	8,912
2014	28,25 I	15,280	12,971
2015	24,932	13,144	I I,788
2016	26,950	13,476	13,474
2017	24,633	12,162	<mark>12,561</mark>
2018	27,347	12,570	<mark>14,777</mark>
2019	28,019	11,198	<mark>16,821</mark>

17 COMMISSION DOCKETING SYSTEMS

- In practice, a docket is a listing of the cases entered in a particular court that is available to the public for examination. Its purpose is to give official notice of the cases pending adjudication.
- Commission docketing systems offer an automated system to collect and organize the items to appear before the Commissioners for decision at a Public Meeting

18 DOCKETING SYSTEM COMPILES CASES INTO AN AGENDA FOR COMMISSIONER DECISION

OFFICE OF ADMINISTRATIVE LAW JUDGE

<u>AGENDA NO.</u> 2638350-ALJ	<u>DOCKET NO.</u> C-2017-2638350	NAME AND SUBJECT CAROL SOJDA AND CAROL LUTZKANIN VS METROPOLITAN EDISON COMPANY - Formal Complaint filed 12/13/17 alleging, inter alia, that Met-Ed threatened to shut off their service and that smart meter's present health and safety concerns. On 1/4/18, Met-Ed filed an Answer and New Matter as well as Preliminary Objections. On 3/29/18, an Interim Order Setting Resolution Conference was issued directing the parties to participate in mediation. Due to lack of contact, mediation efforts were unsuccessful. Met-Ed filed a Motion to Dismiss the Complaint on 10/30/18. Complainant did not file a response to the Motion. COMMISSION REVIEW: That the Commission adopt ALJ Watson's Initial Decision granting the Motion to Dismiss and dismissing the Complaint with prejudice.
3001726-ALJ	C-2018-3001726	MICHELLE AND ROBERT PHILLIPS VS PENNSYLVANIA ELECTRIC COMPANY - Formal Complaint filed 5/7/18 alleging, inter alia, incorrect charges on their bill and service termination. Penelec filed its Answer on 5/29/18. An initial telephonic hearing was held on 9/17/18. The record was closed 10/30/18. COMMISSION REVIEW: That the Commission adopt Deputy Chief ALJ Hoyer's Initial Decision denying the Complaint for failure to meet the burden of proof.

19 A CONVERSION TO DIGITAL

- Large file rooms full of documents
 - Paper, microfilm, microfiche
 - Vendors that can convert the outdated and decaying paper, film and fiche for a price (\$1.2M)
 - Information still needs reviewed by in-house staff for confidential items that cannot be posted to the website
 - In-house conversion solution
 - Convert paper and film files by scanning and posting to InfoMAP and accessible via the website
 - Digital scanning machine and same in-house staff that needs to review for confidentiality requirements (at less than 1/4 of the cost)
 - Efficiencies for FOIA / RTK requests scan documents and post to the website

20 OTHER COMMISSION TECHNOLOGIES

Interactive and Informative Websites

- PA Powerswitch allows shopping and selecting an electric generation supplier
- PA GasSwitch- allows shopping and selecting a natural gas supplier
- Act 13 Natural Gas Impact Fee- shows the collection and distribution of funds through an interactive state map
- Search for Consumer Complaints on Utilities

- Consumer Account Interface (CAI)
 - Automatically assigns cases to PUC Investigators in our Bureau of Consumer Services
 - Data Exchange- Encrypted data is transferred (FTP) to utilities on an hourly basis
 - Automatic Case Closing Checks the utility Reports coming back and, if it meets certain criteria, automatically closes case and prints letter to consumer

21 OTHER TECHNOLOGIES

- Social Media Connection to Public
 - Twitter, Facebook, LinkedIn, Instagram
- VoIP interactive phones
- Videoconferencing / Webinars
- i-phones
- HP Elite II Tablets
- O365 Skype for Business

- Cyber Security group
 - lending Cyber Security awareness/guidance audits to utilities
 - internal Phishing exercises and follow up training with internal staff
 - Penetration testing of applications and firewalls
- Gas Safety Inspection and Motor Carrier Safety inspection applications
 - allows inspectors to complete inspections via an online template; can print out a report / citation for the utility being inspected and data is uploaded into a database for future reports to the Feds



23 HP ELITE 2 (LAPTOP / TABLET)



24 NARUC INFORMATION SERVICES SUBCOMMITTEE

- IT professionals from the various commissions that meet to seek out and discuss best practices
- The subcommittee stands ready to support the various NARUC committees and your Commissions with ideas, best practices, and vendor demonstrations for technologies you need to meet the demands of your stakeholders

25 ANY ADDITIONAL QUESTIONS

Thank you for your time!

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