Iowa Utilities Board

Department of Commerce
Iowa Utilities Board

PERFORMANCE REPORT and PLAN

Performance Results Achieved
In Fiscal Year 2015

Performance Plan for
Fiscal Year 2016

TABLE OF CONTENTS

SECTION **PAGE**

INTRODUCTION **1**

AGENCY OVERVIEW **2**

Guiding Principles/Core Values *2*

STRATEGIC PLAN RESULTS **4**

Goal # 1 ..... *4*

Goal # 2 ..... *5*

Goal # 3 ..... *6*

PERFORMANCE PLAN RESULTS **7**

Core Function - Regulation and Compliance *7*

Services, Products, and Activities in the Regulation and Compliance Core Function *9*

Core Function - Resource Management *18*

RESOURCE REALLOCATIONS **20**

AGENCY CONTACTS **21**

FY 2016 AGENCY PERFORMANCE PLAN **22**

INTRODUCTION

The Iowa Utilities Board (IUB) is pleased to present its performance report for fiscal year 2015 (July 1, 2014 - June 30, 2015). The IUB is a fact-finding body that hears evidence in cases filed before it and makes decisions based on the evidence presented in those cases. The IUB is required by state statute to make decisions that balance the interests of all parties to ensure the utilities provide adequate and reliable service at reasonable prices.

This report highlights the services the IUB provided to Iowans, along with results achieved to ensure the provision of reasonably priced, reliable, environmentally responsible, and safe utility service in the state. This information is provided in accordance with the State of Iowa Accountable Government Act, Iowa Code chapter 8E.

The two basic business functions of the IUB are utility regulation and compliance and resource management. This report covers performance information for both of these areas.

Thank you for your interest in our important public service work to Iowans,

Geri D. Huser	Elizabeth S. Jacobs	Nick Wagner
Chair	Board member	Board member

AGENCY OVERVIEW

The Iowa Utilities Board (IUB), an independent division of the Iowa Department of Commerce, regulates the rates and services of electric and natural gas utilities in the state, the service and rates of one water utility, and the service, access rates and interconnection agreements of telephone utilities in the state.

The agency culture is focused on public service, as reflected in the agency's **mission statement**:

> *The IUB regulates utilities to ensure that reasonably priced, reliable, environmentally responsible, and safe utility services are available to all Iowans.*

The agency's **vision statement** defines the agency's direction:

> *The Iowa Utilities Board is valued as the regulatory expert and solutions-oriented partner in electric, natural gas, and telecommunications issues.*

Guiding Principles/Core Values
The IUB has four core organizational values in the fulfillment of agency duties:

Responsibility
Integrity
Fairness
Responsiveness to Customers

Key Services and Products of the IUB include:

- Review of utility rates and service quality
- Issuance of:
  - Pipeline permits
  - Electric line franchises
  - Electric generation certificates
  - Certificates authorizing construction of new utility infrastructure
  - Telecommunication certificates
- Inspection of utility facilities for compliance with safety and service quality objectives
- Acting as agent for the federal Department of Transportation in pipeline safety matters
- Intervention in federal regulatory cases affecting Iowans
- Representing Iowa's interests in national and regional activities in the utility industry
- Approval and monitoring of utility energy efficiency plans
- Administration of two programs that provide telephone accessibility to people who are deaf, hard of hearing, or have difficulty speaking
- Responding to thousands of utility customer calls and letters each year
- Creating and distributing informational brochures
- Conducting public comment hearings
- Providing information to members of the media
- Keeping and managing official agency records
- Assessing the parties that appear before us for the costs of the agency per Iowa Code

The IUB's two **primary customer groups** are utility customers and utility companies. The agency also considers utility associations, federal agencies, regulatory agencies in other states, other State of Iowa agencies, and all

Iowans to be its customers and stakeholders.

The Iowa Utilities Board is an independent, quasi-judicial agency. The three Board members are appointed by the Governor and confirmed by the Senate. The IUB is one of six autonomous divisions under the umbrella of the Department of Commerce. The chair of the IUB serves as the division administrator and chief executive officer.

The agency is organized into eight sections: Customer Service; Energy (electricity, natural gas, and water); Telecommunications; Safety and Engineering; Policy Development; General Counsel; Records and Information; and Accounting and Assessments. At the end of FY 2015, the IUB had 63 employees, including the three Board members. Fifty-nine percent of the staff was covered by the American Federation of State, County and Municipal Employees (AFSCME) contract.

The IUB office of the IUB is located at 1375 East Court Avenue in a LEED® Platinum-certified building. During the 2006 legislative session, authority was granted for the IUB and the Consumer Advocate Division of the Iowa Department of Justice to build a model energy efficient building to house the two divisions. The first day of business in the new facility was January 18, 2011. The building was dedicated on April 28, 2011.

The IUB is primarily funded by the industries it regulates. In FY 2015, the agency's expenditures were $8.8 million. Utility company revenues subject to assessment for calendar year 2013 were $6.7 billion. Federal and other grants accounted for other revenues. The IUB conducts a pipeline safety program under certificate from the U.S. Department of Transportation, Pipeline and Hazardous Material Safety Administration (PHMSA) and receives a grant for this purpose that also funds a large portion of state pipeline safety activities.

STRATEGIC PLAN RESULTS

Key Strategic Challenges and Opportunities:

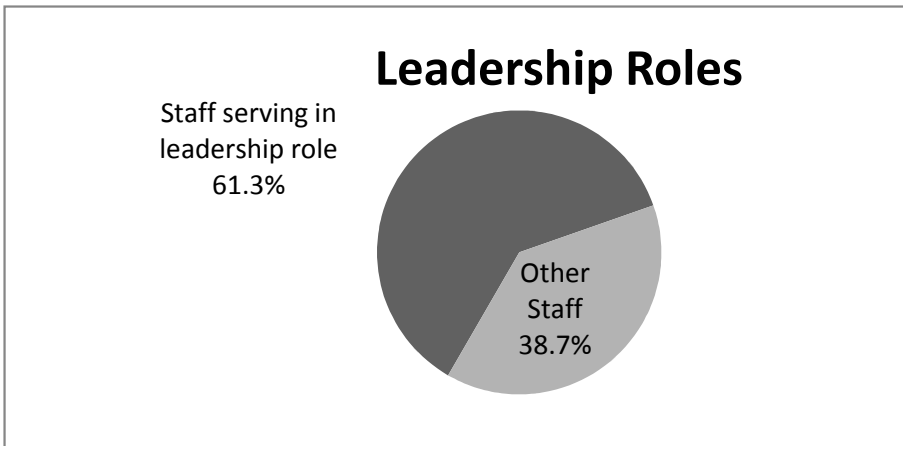
Goal # 1
The Iowa Utilities Board will prepare its staff for leadership roles within the agency and in the state, regional, and national regulatory communities.

Strategy: Continue to identify and pursue leadership opportunities available to staff members. Maintain a list of staff leadership activities and recognition of staff participating in those roles.

Results

Performance Measure: Percentage of staff participating in agency, state, regional, and national leadership roles.

Data Sources: IUB statistics



Data reliability: Each Section Manager records his or her staff's leadership participation and the results are compiled for the agency. Examples of leadership roles served by staff members include representing the Board on national and regional regulatory committees, serving as internal team leaders, and working with others in state government to facilitate enterprise-wide efforts.
What was achieved: The results show that IUB staff participation in leadership roles fell by about 2 percent between FY 2014 and FY 2015.
Analysis of results: Holding leadership positions in agency, state, regional, and national regulatory groups is important because it allows IUB staff members to directly represent Iowans' best interests in discussions of regulatory policy. Despite being a medium- to smaller-sized utility regulatory agency in the United States, the Iowa Utilities Board is looked upon as a leader and strives to maintain that status. Additionally, serving in leadership roles expands an IUB team member's skill set. The IUB had some staff turn-over during FY 2015, which accounts for much of the decrease as new staff may not take on leadership roles right away.
Link(s) to Enterprise Plan: None.

STRATEGIC PLAN RESULTS

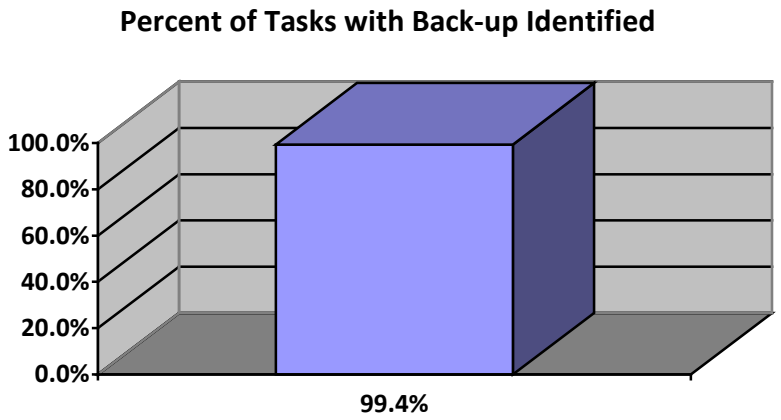
Goal # 2
The Iowa Utilities Board will prepare for staff succession in a manner that will maintain competency, accountability, and the professionalism of the agency when tenured staff departs.

Strategy: Prepare for changes in staffing by implementing cross training, position aids, and process and procedure manuals.

Results

Performance Measure: Percentage of agency essential tasks with more than one staff member trained to perform.

Data Sources: IUB statistics



Data reliability: The IUB leadership team is responsible for compiling the data.
What was achieved: Our percentage stayed the same in FY 2015.
Analysis of results: Job sharing and team working relationships have been established by the Board's leadership team to ensure coverage on a daily and long-term basis. It is particularly important for more tenured staff to work with newer team members in a mentoring capacity and knowledge-sharing role.
Link(s) to Enterprise Plan: None.

STRATEGIC PLAN RESULTS

Goal # 3
Increase Iowans' awareness of Iowa Utilities Board services, informational resources, and responsibilities.

Strategy: Increased awareness and visibility among the citizens of Iowa and the Midwest.

Results

Performance Measure:
Number of public comment/educational forums held and the public participation in those forums.

Data Sources:
IUB statistics

Public Forums	Number Held	Customer Attendance	Media Attendance
Consumer Comment Hearings	0*	N/A	N/A
Fall Customer Service Meetings	19	445	N/A

*There were no cases with required consumer comment hearings in FY 2015.

Data reliability: The IUB Customer Service team is responsible for compiling the data.
What was achieved: Consumer comment hearings are scheduled in major cases of documented consumer interest to allow customers and the public to be heard. All public comments become part of the permanent record of the case. The annual statewide Fall Customer Service meetings provide useful information to utility customer service staff as well as staff from Community Action Agencies, the Iowa Utility Association, the Iowa Association of Municipal Utilities, the Iowa Association of Rural Electric Cooperatives, the Office of Consumer Advocate, and Iowa Legal Aid. The IUB provides updates on new and existing Board rules, the winter moratorium, energy assistance programs, telecommunications-related assistance programs, IUB consumer informational brochures, and contact information for the IUB for consumers to obtain general information or to file a utility-related complaint.
Analysis of results: There were no cases in FY 2015 that necessitated consumer comment hearings. The Fall Customer Service Meetings continued to be a success, with increased attendance compared to FY 2014. The IUB has created, a series of new, consumer educational brochures, re-designed and launched a new mobile-friendly agency website, added live video streaming of Board hearings and meetings, and increased social media communications to improve public education and outreach. We continue to explore additional opportunities for the public to learn more about the IUB and the services we offer.
Link(s) to Enterprise Plan: None.

PERFORMANCE PLAN RESULTS

Core Function - Regulation and Compliance

Description: Utility regulation as directed by Iowa Code chapter 476, 476A, 478, 479, 479A, 479B, and 477C.

Why we are doing this: Traditionally, public utility services have been considered natural monopolies, primarily because of economies of scale and safety considerations. Where monopoly utility markets exist, the Iowa Utilities Board fulfills its statutory duties by balancing utility consumers' needs for reliable, safe, and adequate services with the utilities' needs to have an opportunity to earn a reasonable return on investment in infrastructure. As competitive markets have emerged, the IUB has been a leader in change. In the telecommunications area, the IUB has deregulated retail communications service because the market was determined to be sufficiently competitive. The IUB has identified the following desired outcomes of regulation:

1. The number of accidents or incidents caused by improper operation or maintenance of utility facilities is minimized.

2. Regulated utility services are offered at a fair price.

3. Reliable utility service is available for Iowans to run their businesses and households.

What we're doing to achieve results: In fiscal year 2015, a team of seven safety inspectors conducted routine inspections of electrical lines and natural gas pipelines, ensuring that safety standards were met.

The IUB has deregulated retail rates for all local exchange telecommunications service in Iowa and in 2013 initiated a Notice of Inquiry to determine the proper scope of telecommunications regulation going forward. In the 2014 Legislative Session, the IUB pursued and achieved passage of legislation implementing additional deregulation as recommended by conclusions reached in the NOI. In FY 2015, the IUB has undertaken several rulemakings to continue to implement the findings of the NOI.

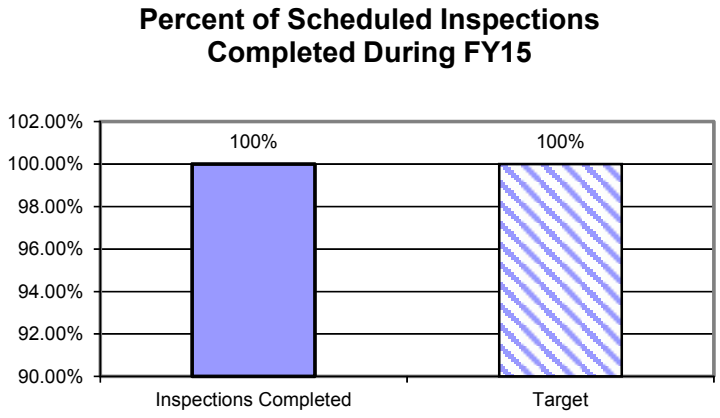
The IUB is involved in regional and national groups to ensure Iowans' best interests are protected in an evolving utility market structure.

Results

Performance Measure:
Percent of scheduled safety inspections of Iowa utility pipeline facilities completed within a year.

Performance Target:
Establish baseline and maximize. Goal 100%.

Data Sources:
IUB Safety & Engineering Section.



Data reliability: The IUB Safety and Engineering Section schedules the pipeline inspections in advance and tracks the progress.
Why we are using this measure: Physical inspection of utility pipeline facilities ensures that safety codes and standards have been followed and implemented. It is important for reliability of service and to the overall safety of the system and thus to the state.
What was achieved: 100% of the necessary and scheduled pipeline inspections were completed.
Analysis of results: The inspection staff has consistently completed the scheduled safety and compliance reviews.
Factors affecting results: Having a full inspection staff is critical to completing the necessary inspections within a year.
Resources used: The IUB pipeline inspector team is funded in part by pipeline safety grants from the U.S. Department of Transportation, Pipeline and Hazardous Materials Safety Administration (PHMSA).

Services, Products, and Activities in the Regulation and Compliance Core Function

Activity: **Prepare, sign, and issue Board decision orders in a timely manner.**

Description: Board decision orders are the mechanism by which the Board renders its official decisions.

Why we are doing this: To ensure the Board's decisions are issued on a timely and accurate basis.

What we're doing to achieve results: Diligently tracking due dates and order status to ensure that timelines are met. Multiple staff members review the orders to help ensure accuracy and clarity.

Results

Performance measure:
Percentage of orders issued on or before statutory deadline.

Percentage of errata orders issued.

Performance Target:
Goal of 100%.

Goal of less than 0.5%

Data Sources:
IUB statistics

	Orders Issued Timely	Errata Orders Issued
Actuals	100%	0.0%
Targets	100%	0.5%

Data reliability: The IUB administrative support staff compiles this data.
Why we are using this measure: To ensure the Board's decisions are issued on a timely and accurate basis.
What was achieved: All Board decisions were issued timely and accurately.
Analysis of results: The Board is meeting its timeliness and accuracy goals.
Factors affecting results: Some cases before the IUB have statutory timelines. The workflow must be controlled within the timelines set by statute.
Resources used: Numerous members of the IUB staff work to ensure that the Board members' decision orders are issued.

Activity: **Represent Iowans' best interests on regulatory issues at the regional and national level.**

Description: Board Members serve on committees at the regional and national level.

Why we are doing this: To ensure the best interests of Iowans are represented in the evolving utility industry.

What we're doing to achieve results: Using our personnel and monetary resources as efficiently as possible.

Results	
Performance Measure: Percentage of Board members holding positions in national regulatory organizations. ***Performance Target:*** Goal of 100%. ***Data Sources:*** IUB statistics Results shown are examples of appointments (list is not all inclusive)	**Elizabeth S. Jacobs – Chair** NARUC Committees: Electricity Subcommittee on Nuclear Issues – Waste Disposal Task Force, Environmental Regulation and Generation (TFERG) OMS Board of Directors – President Stakeholder member of the MISO Board Nominating Committee MISO Advisory Committee member Eastern Interconnection States Planning Council (EISPC) voting member Center for Public Utilities at New Mexico State University (CPU) Advisory Council member Financial Research Institute (FRI) Advisory Board member Mid-American Regulatory Conference (MARC) member Southwest Power Pool (SPP) Regional State Committee Member Critical Consumer Issues Forum (CCIF) Advisory Committee **Nick Wagner – Board member** NARUC Committees: Critical Infrastructure Co-Vice Chair Washington Action Committee Co-Chair Gas Mid-American Regulatory Conference (MARC) member, Secretary Smart Grid Interoperability Panel (SGIP) Board member, Treasurer Eastern Interconnection States Planning Council (EISPC) voting member Center for Global & Regional Environmental Research (CGRER) Advisory Board Member **Sheila K. Tipton – Board member** NARUC Committees: Telecommunications Critical Infrastructure NARUC's representative on the Communications Security Reliability and Interoperability Council (CSRIC) Iowa Energy Center Advisory Board member Mid-American Regulatory Conference (MARC) member

Data reliability: The data is compiled by the IUB's administrative staff.
Why we are using this measure: Representation on national and regional organizations ensures Iowans a voice in a constantly changing industry and regulatory environment.
What was achieved: All Board members were involved in national regulatory organizations in FY 2015.

Analysis of results: Broad coverage of electric, gas, and telecommunications issues.
Factors affecting results: Openings, recommendations, and invitations to serve on committees and organizations and availability of the Board members.
Resources used: Board member expenses related to meetings are sometimes covered completely or in part by the organization.

Service: **Organize and conduct consumer comment hearings, educational meetings, and resources for increasing the public's knowledge of IUB duties and responsibilities.**

Description: Consumer comment hearings allow the public to ask questions about a pending rate proceeding and to have their comments become part of the permanent record for the rate case. In addition, Customer Service staff participate in each consumer comment meeting and provide customer information, along with explaining the process of filing a utility-related complaint. Educational meetings focus on increasing awareness of new and existing Board rules, and other topics of interest to consumers and agencies that serve consumers. The public has access to the IUB's robust website, which provides consumer information regarding utilities regulated by the IUB, Board activity, the Electronic Filing System, complaints about utilities, how to file utility-related documents, helpful consumer tips, and IUB-related news, along with numerous informational brochures. Some include: Answering Utility Service Questions; Preparing for High Energy Costs; Effective Means of Reducing Energy Costs; Understanding Fees on Telephone Bills; Avoid Telephone Billing and Marketing Deception; and Land Restoration after Pipeline Construction - Your Rights as an Iowa Landowner.

Why we are doing this: The public must have reasonable access to the Board to voice their concerns and receive answers to questions on pending rate cases. Educational meetings and informational brochures help the public understand what we do and how we can assist them.

What we're doing to achieve results: Board staff reviews all consumer comments filed in rate proceedings. An analysis of the geographic origin of the comments is done to determine where and how many comment meetings should be held. Meeting locations are selected based on accessibility and comfort for the participants. During FY 2015, the IUB completed a complete redesign of the IUB website to make it more accessible and user-friendly.

Results

Performance Measure: Number of comment meetings held in major service areas where there is significant consumer concern over a pending proceeding filed with the Board.

Performance Target: Comment meetings will be conducted in 100% of cases where significant consumer concern is filed with the Board.

Data Sources: IUB Customer Service Staff.

Cases with Significant Customer Concern	Customer Comment Meetings held
0	0

Data reliability: The data is compiled by the IUB's Customer Service staff.
Why we are using this measure: This measure is a gauge of our accessibility to the public.
What was achieved: There were no cases that met the criteria in FY 2015
Analysis of results: There are no results to report this year.
Factors affecting results: Number of cases filed with the Board, number of objections filed.
Resources used: Board Members, along with technical, legal, and Customer Service staff members, conduct consumer comment hearings.

Service: **Prompt resolution of customer complaints about utility service.**

Description: Assisting utility customers in dispute resolution with utility companies.

Why we are doing this: This service helps Iowans maintain their utility service by resolving complaints and ensuring that established utility service rules are being interpreted correctly and carried out.

What we're doing to achieve results: The IUB is consistently reviewing and updating its processes and procedures, providing staff training, and using data tracking to ensure that acknowledgement letters and complaint resolution correspondence are rendered within the goals established.

Results

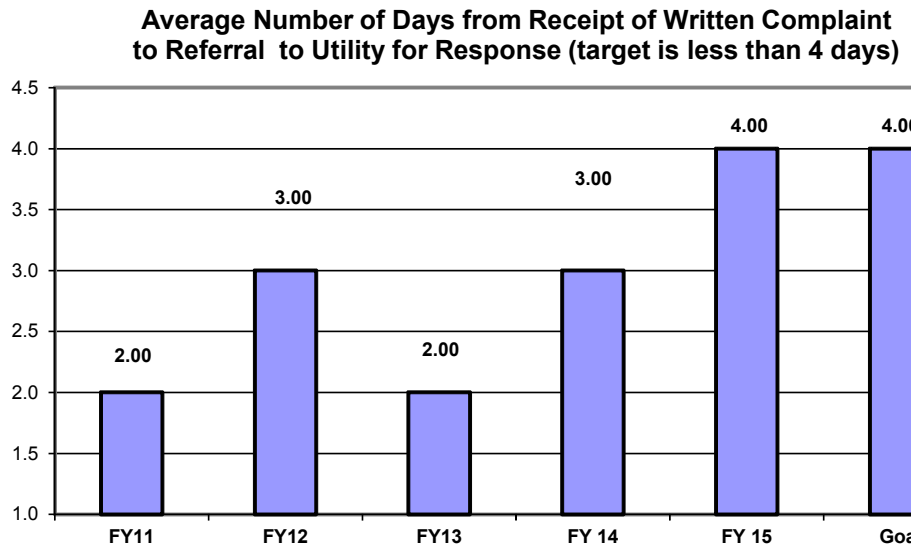
Performance Measure: Number of days from receipt of complaint to the referral to a utility for response.

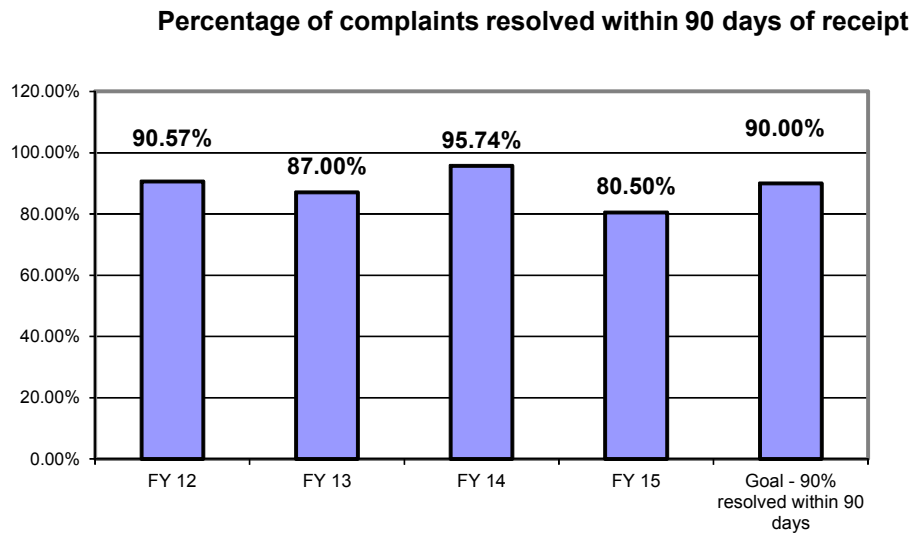
Average resolution time for written complaints.

Performance Target: Acknowledgement and utility referral letters will be sent within four business days of receipt of customer complaint.

A proposed resolution will be issued for 90 percent of complaints within 90 days.

Data Sources: IUB Customer Service Staff.





Data reliability: The data is compiled by the IUB Customer Service staff.
Why we are using this measure: Utility consumers look to the IUB for assistance with complaint resolution. Complaints deal with a wide variety of issues such as service disconnections, service deposits, payment agreements, meter issues, and credits for unsolicited service billings. Prompt action and resolution of these issues is in everyone's best interest. Timely resolution of informal investigations requires that the utility be notified of the consumer's complaint as soon as possible.
What was achieved: The percentage of customer complaints against utilities resolved within 90 days has consistently hovered around 90 percent. However, in FY 2015, one telecommunications company sent out two inaccurate mailings to all of its customers in a short period of time. This caused a very large call volume which monopolized the time of Customer Service staff and delayed other complaint resolutions.
Analysis of results: In FY 2015, the very high call volume slowed the complaint resolution process. This is an anomaly compared to previous years and the IUB expects to return to achieving a 90 percent resolution within 90 days in FY 2016.
Factors affecting results: Number of complaints filed, complexity of compliance issues, and volume of customer calls the IUB receives. The same analysts that staff the customer service phones also handle all written correspondence.
Resources used: IUB Customer Service representatives.

Service: **Conduct a pipeline safety program under certificate from the U.S. Department of Transportation, Pipeline and Hazardous Material Safety Administration (PHMSA).**

Description: IUB regulatory inspectors review natural gas pipeline construction projects and gas utility operations to ensure that safety standards are met.

Why we are doing this: To ensure safe transportation of natural gas in Iowa.

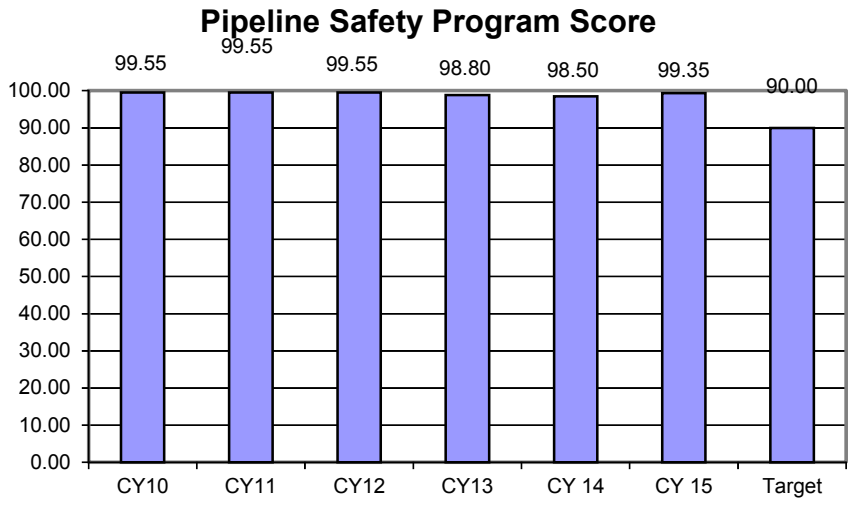
What we're doing to achieve results: Promptly responding to any areas noted for improvement in the PHMSA annual evaluation of the IUB inspection program.

Results

Performance Measure: Iowa's score in the annual evaluation of its pipeline safety program by the U.S. OPS.

Performance Target: Score of 90 or higher. Maximize federal grant eligibility.

Data Sources: OPS



Data reliability: The PHMSA, which is part of the Federal Department of Transportation, scores Iowa's program.
Why we are using this measure: This is an independent measure of the efficiency and effectiveness of the IUB's pipeline inspection program.
What was achieved: The IUB has consistently maintained a very high score. We are above the average for the 50 states and Puerto Rico.
Analysis of results: The inspection program is maximizing the IUB's eligibility for federal funding grants.
Factors affecting results: Number of inspectors on staff, miles of pipeline, number of construction projects, and federal reporting requirements. There is a time lapse between the program evaluation date and the announcement of scores; the score for calendar year 2013 is the last reported score.
Resources used: IUB Safety and Engineering staff. Part of the program cost is funded by federal grants.

Service: **Process petitions for electric franchises and pipeline permits.**

Description: This is the approval process electric and gas utilities must go through to build new electric transmission lines and natural gas and hazardous liquids pipelines.

Why we are doing this: To ensure that Iowa has adequate infrastructure to supply the necessary utility services and to boost economic development opportunities for Iowa.

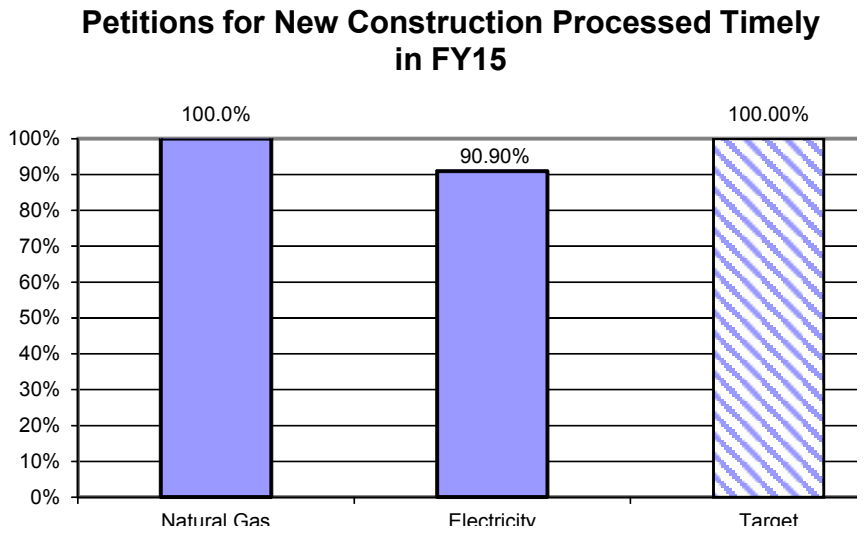
What we're doing to achieve results: Monitoring progress on petition reviews and reassigning staff resources as needed to complete approval processes in a timely manner.

Results

Performance Measure: Percentage of petitions for approval of new construction processed in a timely manner.

Performance Target: For projects proposing new construction, a hearing notice or deficiency letter is issued within 90 days of petition filing.

Data Sources: IUB Safety & Engineering Section.



Data reliability: The data is compiled by the IUB Safety and Engineering Section.
Why we are using this measure: This is an efficiency measure that relates to the IUB's mission and vision as well as Iowa's growth goals.
What was achieved: The IUB set up for hearing or sent a deficiency letter to the requesting utility within 90 days for 20 of 22 (90.9 percent) petitions seeking approval of new electrical transmission facilities. One deficiency letter missed the 90 day window by two days. The other letter missed the target by 22 days. The IUB has since updated our procedures and created a report that makes it easier to identify dockets that are coming close to the end of the target performance window. One hundred percent of pipeline projects were dealt with in a timely manner.
Analysis of results: Our goal was met for pipeline projects. We did not meet the goal for electric franchise projects, but have implemented new procedures to ensure we can meet the goal in the future. We also have spending authority to hire an additional staff to deal with transmission franchise cases and plan to do so in FY 2016.
Factors affecting results: Number of petitions filed, number of contested cases requiring staff reports and hearing participation, other staff workload. The IUB had a staff vacancy in this area during FY 2015.
Resources used: IUB Safety and Engineering staff, along with members of the General Counsel staff.

Service: **Efficient administration of equipment distribution program (EDP) and Relay Iowa.**

Description: The Iowa Equipment Distribution Program helps those who are deaf, hard-of- hearing, or have difficulty speaking pay for specialized telephone equipment. Qualified individuals can receive a voucher for approximately 95 percent of the average cost of specialized telephone equipment.

Why we are doing this: This program is required by the Iowa Code § 477C. The general assembly finds that the provision of a statewide dual party relay service will further the public interest and protect the health, safety, and welfare of the people of Iowa through an increase in the usefulness and availability of the telephone system. Many persons who are deaf, hard-of-hearing, or have difficulty speaking are not able to utilize the telephone system without this type of service.

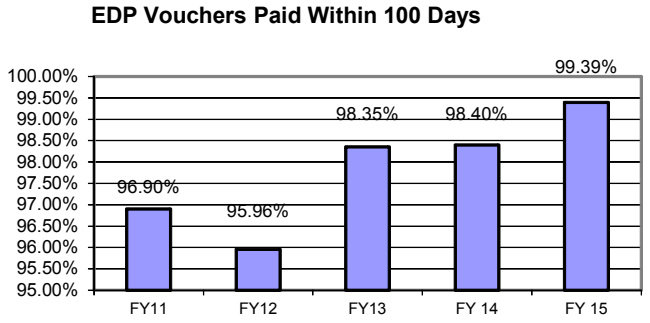
What we're doing to achieve results: The IUB works with contracted parties on a regular basis to ensure contract compliance and operational efficiency.

Results

Performance Measure: Percent of EDP vouchers processed timely.

Performance Target: Establish baseline and maximize.

Data Sources: IUB Accounting & Assessments and Telecommunications Sections.



Data reliability: The data is compiled by the IUB Accounting and Assessments and Telecommunications Sections.
Why we are using this measure: The 100-day time period starts when the Equipment Distribution Program Administrator (EDPA) issues the voucher to the client and ends when the State of Iowa warrant for reimbursement of the equipment vendor is issued. It includes voucher recipient time, equipment vendor processing time, EDPA processing time, and IUB and State Accounting Enterprise (SAE) processing time.
Why we are using this measure: This is a way to measure the efficiency of the IUB and State Accounting Enterprise Processing time.
What was achieved: The team has done a commendable job of paying these vouchers in a timely manner.
Analysis of results: The program continues to be popular and the reimbursement

process is working smoothly.
Factors affecting results: Number and timeliness of vouchers submitted to IUB for payment, workload of staff.
Resources used: IUB Accounting and Assessments staff.

Core Function - Resource Management

Description: Resource management provides the infrastructure necessary to administer and support agency operations. Key activities include accounting, financial and personnel services, purchasing, and maintenance of official agency records.

Why we are doing this: Resource management is the backbone necessary to support and operate the agency.

What we're doing to achieve results: Reviewing processes for efficiency improvement opportunities.

Services, Products, and Activities in the Resource Management Core Function

Product: **Issue timely agency direct and remainder assessment billings.**

Description: Billing the utility companies and other parties that participate in cases before the IUB.

Why we are doing this: This is how the IUB is funded.

What we're doing to achieve results: Streamlining the time recording process to speed up the rendering of bills, including performing a LEAN process to revise the billing and time reporting processes.

Results

Performance Measure: Number of days between target date for billing and issuance of bills.

Performance Target: Goal is zero days.

Data Sources: IUB Accounting & Assessment Sections.

Type of Bill	Status for FY 2015
Energy Center Billings	Issued on target
Direct Invoices (Qtr. 1 & 2)	Issued on target
Direct Invoices (Qtr. 3)	Issued on target
Direct Invoices (Qtr. 4)	Issued on target

Data reliability: The IUB Accounting and Assessment Section prepares all the bills and tracks the timing of their issuance.
Why we are using this measure: To track the efficiency of our billing process.

What was achieved: All bills were issued by the target date for billing.
Analysis of results: This is an area of continued improved performance as the recommendations from the LEAN process have been implemented.
Factors affecting results: Number of companies/parties needing to be billed and having a full Accounting and Assessment team available to compile billing information and prepare invoices.
Resources used: The IUB Accounting and Assessment Team processes these invoices. The team also works for the Office of Consumer Advocate and the Iowa Insurance Division, who pay for a portion of the costs of running the section.

RESOURCE REALLOCATIONS

Because the IUB is a relatively small agency within the Department of Commerce, in fiscal year 2015 the IUB did not utilize resource reallocation to a measurable degree. Our human resources are sometimes shifted from one section of the agency to another, depending on workload. The staff of the IUB is often organized into multi-disciplinary teams with the goal of providing the Board members the best possible information on which to base their decisions.

AGENCY CONTACTS

Copies of the Iowa Utilities Board's Performance Report are available on our web site at http://iub.iowa.gov

Contact information:

Kerri Johannsen, Executive Officer --- (515) 725-7362
Judi K. Cooper, Deputy Executive Secretary --- (515) 725-7312
Iowa Utilities Board
1375 E Court Ave RM 69
Des Moines, IA 50319-0069

FY 2016 AGENCY PERFORMANCE PLAN

Name of Agency: Iowa Utilities Board

Agency Mission: The Iowa Utilities Board regulates utilities to ensure that reasonably priced, reliable, environmentally responsible, and safe utility services are available to all Iowans.

Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)
CF: Resource Management			Goal 1 - The Iowa Utilities Board will prepare its staff for leadership roles within the agency, and in state, regional, and national regulatory communities. Goal 2 – The Iowa Utilities Board will prepare for staff succession in a manner that will maintain competency, accountability, and the professionalism of the agency when tenured staff depart. Goal 3 - Increase Iowans' awareness of Iowa Utilities Board services, informational resources, and responsibilities.
Desired Outcome(s):			
A fiscally healthy agency with:			
a) Improved Cash Flow	See A below.		
b) Workforce Accountability	See B & C below.		

Activities, Services, Products	Performance Measures	Performance Target(s)	Strategies/Recommended Actions
Administration			
A = Org # AA10 Issue timely Energy Center and direct assessment billings.	Number of days between target date for billing and issuance of bills.	Goal is 0 days.	Review processes for efficiency and continue cross training of staff.
B = Org # BD01, ST02, GC03, RC04, CS05, EN06, PD07, SE08, TE09, AA10, SERA Employees have value added development goals in their individual performance plans.	Percent of employees with value-added development goals.	Goal is 100%	Align the organizational structure and allocate resources to support the agency mission and vision.
C = Org # BD01, ST02, GC03, RC04, CS05, EN06, PD07, SE08, TE09, AA10, Employees strive to expand their skill sets and knowledge.	Percent of employees who perform development goals identified in the individual performance plan.	Goal is 100%	Align the organizational structure and allocate resources to support the agency mission and vision.

Core Function	Outcome Measure(s)	Outcome Target	Link to Strategic Plan Goal(s)
CF: Regulation & Compliance			Goal 1 - The Iowa Utilities Board will prepare its staff for leadership roles within the agency, and in state, regional, and national regulatory communities. Goal 2 – The Iowa Utilities Board will prepare for staff succession in a manner that will maintain competency, accountability, and the professionalism of the agency when tenured staff depart. Goal 3 - Increase Iowans' awareness of Iowa Utilities Board services, informational resources, and responsibilities.
Desired Outcome(s):			
Conduct all scheduled inspections to try to minimize the number of accidents or incidents caused by improper operation or maintenance of utility facilities.	Percent of scheduled inspections of Iowa utility facilities completed within a year.	Baseline is 100%. Goal is 100%.	
Activities, Services, Products	**Performance Measures**	**Performance Target(s)**	**Strategies/Recommended Actions**
1. Utility Regulation			
A = Org #BD01, ST02, GC03 & RC04 Prepare, sign & issue Board decision orders.	Percentage of orders issued on or before statutory deadline. Percentage of errata orders issued.	Goal of 100%. Goal is less than 0.5%.	Review approval processes and procedures to ensure timely and accurate issuance of Board decisions.
B = Org #BD01 Represent Iowans' best interests on regulatory issues at the regional and national level.	Percentage of Board members holding positions in national regulatory organizations.	Goal of 100%.	Gain knowledge on national and regional issues in the industry and on how these issues could impact Iowans in order to provide input and influence on how Iowans will best be served in a constantly changing industry and regulatory environment.
C = Org #SE08 Process petitions for electric franchises and pipeline permits.	Percentage of petitions for approval of new construction processed in a timely manner.	For projects proposing new construction, excluding exceptionally large projects or at petitioner request,	Monitor progress on petition reviews and reassign staff resources as needed.

		a hearing notice or review letter is issued within 90 days of petition filing. Goal of 100%.	
D = Org #TE09 & AA10 Efficient administration of equipment distribution program (EDP) and Relay Iowa.	Percent of EDP vouchers processed timely.	Six-year average is 99.35% Goal is 100%.	Work with contracted parties on a regular basis to ensure contract compliance and that program operates efficiently.
2. Customer Service & Education Org #CS05			
A = Organize and conduct rate case customer comment hearings and other educational outreach meetings to increase the public's knowledge of IUB duties and responsibilities.	Number of comment meetings held in major service areas.	Comment meetings will be conducted in 100% of significant cases.	Critical analysis of filed case public issues; Hearing locations that are easily accessible and reasonably comfortable.
B = Prompt resolution of customer complaints about utility service.	Number of days from receipt of a complaint to the referral to a utility for response. Average resolution time for written complaint files.	Acknowledgement and utility referral letters will be sent within four business days of receipt of customer complaint. 90 percent – Proposed resolution issued in 90 percent of the complaints within 90 days from the date received.	Review and update processes and procedures, provide staff training, and use data tracking to assure that acknowledgement letters and complaint resolution letters are rendered within these goals.
3. Agent for Fed. DOT Office of Pipeline Safety Org #SE08			
Conduct a pipeline safety program under certificate from the Federal Pipeline Hazardous Materials Safety Administration (PHMSA).	Iowa's score in the annual evaluation of its pipeline safety program by PHMSA.	Goal is to score 90 or higher. Maximize federal grant eligibility.	Promptly respond to any criticisms in the OPS annual evaluation to preclude score reduction in subsequent evaluations.