



Iowa Utilities Board

2010 - 2015 Strategic Plan

June 2014

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Guiding Statements

Our Mission

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

Our Vision

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

Our Guiding Principles

- We believe in continued improvement and learning.
- Each of us is responsible and accountable for our contribution to fulfilling the mission and vision of the Iowa Utilities Board.
- We demonstrate respect for all people.
- All stakeholders receive fair and equitable treatment.
- Consumers receive fair value in utility services and utilities receive an opportunity to earn a fair return on prudent investments.
- Economic growth and quality of life are supported by ensuring utility services are adequate to meet customer demand.
- Consumers are provided with the information they need to make informed choices about their utility services.
- Market solutions are implemented where appropriate.

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Strategic Goals

- Goal 1:** Our workforce identifies and responds to industry changes and customer needs.
- Goal 2:** The value of IUB services is enhanced by providing a system of efficient, effective, and open communication between the public, stakeholders, and IUB employees.
- Goal 3:** The IUB is a decision-making partner on utility-related issues and policy at a state and national level.
- Goal 4:** Regulatory decision-making is informed and open and utility performance is monitored.

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Goal 1 - Our workforce identifies and responds to industry changes and customer needs.

Lead: Board/*Libby*

Team: *Libby*, Nick, Sheila, Judi, Joan

Measures:

- 100 percent of employees have value-added development goals
- 100 percent of employees achieve development goals
- Stakeholder survey to gauge satisfaction with IUB is conducted every other year

Strategies	Actions	Person(s) Responsible	Due By
a. Align the organizational structure and allocate resources to support the mission and vision	1. Determine an organizational structure that supports mission and vision	1. Joan	1. Completed/ongoing
	2. Determine what resources are needed to support structure	2. Joan	2. Completed/ongoing
	3. Develop and implement plans to overcome gaps in resources (hire, develop, position changes)	3. Joan	3. Completed/ongoing
	4. Determine agency needs for succession planning and hiring	4. Joan	4. Ongoing
	5. Conduct an internal and external environmental scan/survey	5. Joan	5. Q4 2014
	6. Conduct a management retreat to develop a new agency strategic plan	6. Joan	6. Q1 and Q2 2015
b. Develop and implement a performance management program	1. Develop managers' performance goals	1. Joan	1. Completed

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	Actions	Person(s) Responsible	Due By
	3. Develop and implement new performance management process for managers	3. Joan	3. Completed
	4. Implement performance management process for staff	4. Managers	4. Completed
	5. Internally review and update all PDQs	5. Joan and managers	5. Ongoing
	6. Monitor results and make changes	6. Joan	6. Ongoing
c. Develop and implement a succession plan	1. Determine at-risk categories	1. Judi	1. Initial review completed and ongoing
	2. Review and update job classifications	2. Judi and managers	2. Ongoing
	3. Provide additional support in at-risk categories through training and development of existing staff	3. Judi	3. Ongoing

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Goal 2 - The value of IUB services is enhanced by providing a system of efficient, effective, and open communication between the public, stakeholders, and IUB employees.

Lead: Don T.

Team: Teresa, Rob H, Board, Kerri

Measures:

- Percent of survey respondents who rate IUB communications as satisfactory or better.
- Percent of media coverage as measured by a quarterly communications report.

Strategies	Actions	Person(s) Responsible	Due By
a. Develop an overall agency message	1. Define message	1. Don	1. Completed
	2. Develop a new IUB brand	2. Don	2. Completed
	3. Incorporate new brand in all IUB materials	3. Don, Rob, Teresa	3. Completed
b. Develop an internal communications plan	1. Conduct an internal communications audit	1. Don, Rob	1. Q3 2014
	2. Identify best practices and areas to target	2. Don, Rob	2. Q4 2014
	3. Develop and implement an internal communications action plan	3. Don, Rob	3. Q1 & Q2 2015
c. Develop an external communications plan	1. Conduct an external communications audit	1. Don, Rob	1. Q3 2014
	2. Identify best practices and areas to target	2. Don, Rob	2. Q4 2014
	3. Develop and implement an external communications plan	3. Don, Rob, Teresa	3. Q1 & 2 2015

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Goal 3 - The IUB is a decision-making partner on utility-related issues and policy at a state and national level.

Lead: Venkata

Team: Mack, Mike, Don S, Kerri

Measures:

- **Number of decision-making partnerships (such as MISO and OMS committee participation, UMTDI, etc.; can be formal or informal, permanent or temporary)**

Strategies	Actions	Person(s) Responsible	Due By
a. Board and staff have meaningful representation on state, regional, and national organizations	1. Select and actively participate in appropriate groups.	1. Supervising manager selects staff who then participate; managers and staff both seek participation opportunities	1. Updated yearly
	2. Develop standard format for meeting summary	2. Format developed	2. Completed
	3. Participate in utility-related groups/discussions nat the state level	3. Participating staff	3. Ongoing
	4. Provide meeting summary to Board and staff when appropriate	4. Participating staff	4. Ongoing

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Strategies	Actions	Person(s) Responsible	Due By
b. Identify and analyze emerging industry issues	1. Board members/managers/staff review meeting notes, periodicals, and journals for emerging issues	1. Managers/Staff	1. Ongoing
	2. Quarterly meetings with managers to develop and prioritize a list of emerging industry issues	2. Venkata	2. Quarterly
	3. Develop and maintain prioritized list for Board's approval	3. Venkata	3. Quarterly
	a. Set timelines for each issue to be analyzed	a. Joan/Managers	a. Ongoing
	b. Assign issues for research and reporting	b. Joan/Managers	b. Ongoing
	4. Educate and advise Board on identified issues	4. Appropriate staff	4. Ongoing
5. Make recommendation for external communication if applicable, consistent with Goal 2 process	5. Appropriate manager	5. Ongoing	
6. Provide input to outside agencies on relevant issues	6. Appropriate staff	6. Ongoing	

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Goal 4 - Regulatory decision-making is informed and open, and utility performance is monitored.

Lead: David

Team: Jane, Lynn, Larry, Jim L., Mack, Don S

Measures:

- **Percent of tracked reports, orders, and memos circulated within target time frames**
- **Number of tracked reports, orders, or memos returned for additional work**
- **Stakeholder satisfaction with IUB data collection (as part of stakeholder surveys)**

Strategies	Actions	Person(s) Responsible	Due By
a. Reports, memos, and orders are timely and complete	1. Review current tracking mechanisms to determine if additional mechanisms are needed	1. Jane, Jim L.	1. Q1 2015
	2. Define reports, orders, and memos to be monitored	2. Jane, Jim L.	2. Q1 2015
	3. Effective coordination and consolidation of data tracking systems and data entry	3. Sam C	3. Q1 2015
	4. Track reports, orders, and memos to determine baseline performance times for normal circulation	4. Lynn	4. Q1 2015
	5. Set initial targets for normal circulation and measure; review after 6 months or as appropriate	5. David	5. Q2 2015

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Strategies	Actions	Person(s) Responsible	Due By
b. Maintain an inventory of appropriate data categories so the IUB is the primary source for fact based information	1. Identify data we currently collect and what we do with it	1. Mack, Jim L., Larry	1. Q4 2014
	2. Identify uncollected data categories we want or need to collect (and what we would do with it)	2. David	2. Q4 2014
	3. Board and management team identify data to be collected going forward	3. Board and management team	3. Q4 2014
	4. Identify staff positions which would be responsible for receiving and processing new data categories (2 deep, where appropriate)	4. David	4. Q1 2015
	5. Track rulemakings as necessary to begin collecting new data categories and eliminate unneeded ones	5. Lynn	5. Ongoing
c. All decision-making processes are open and efficient	1. Review requirements under Iowa and Federal law	1. David	1. Completed
	2. Review decision-making processes used by other state PUCs and other agencies	2. David	2. Completed
	3. Present alternatives to Board with recommendations as appropriate	3. David	3. Completed
	4. Implement Board directives to have an open and transparent process	4. David	4. Memo with Board

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S.W.O.T. Analysis

S trengths	W eaknesses	O pportunities	T hreats
<ul style="list-style-type: none"> • Experienced, knowledgeable staff • Flexibility of organization • High level of professionalism • Use of teams • National/regional reputation • Good board • Small size • Quasi judicial agency • Competitive pay • Open work atmosphere • Established processes/procedures • Key infrastructure planning • Good relationship with all stakeholders 	<p><u>Staff</u></p> <ul style="list-style-type: none"> • Reevaluation of team process • Uneven distribution of work • Inability to reward superior work • Classification of positions: work performed • Succession planning/retirements • Desire for more training opportunities <p><u>Management</u></p> <ul style="list-style-type: none"> • Management expectations are not clearly defined • Inconsistent treatment of staff • Lack of consequences for poor work • Frequent board turnover • Need for improved communication with staff, between sections, with stakeholders 	<ul style="list-style-type: none"> • Leader in regulatory arena • Upcoming retirements/opportunity for reorganization • Restaff with appropriate skill sets • Retrain current staff • Target training to strategic plan • Lead in EE/renewable energy • Work with agencies/legislature • Regional/national decisions/energy & telecom – Best use of limited IUB resources • New building • Stimulus funding • Be go-to agency • Changes in industry/regulatory changes at IUB 	<ul style="list-style-type: none"> • 40% of staff near retirement • 6-8 technical staff members are relied on for many issues • Potential funding/budget cuts • OCA funding/staffing • Politics • Regional/federal issues moving fast • Need enhanced expertise on complex issues • Increasing threat of federal preemption
	<p><u>Work Product</u></p> <ul style="list-style-type: none"> • Tendency to reward good work with more work • Need to prioritize • Artificial deadlines • Overlapping section duties • Growing external expectations combined with shrinking staff • Need review of reporting requirements 		