



Iowa Utilities Board

FY 2019 - 2023 Strategic Plan

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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 regarding utility issues.

Our Guiding Principles

- We believe in continuous 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 equitable treatment.
- Consumers receive value in utility services and utilities receive an opportunity to earn a reasonable 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

The Board's customers and services are either explicitly or implicitly defined by Iowa Code. As a result, the Board's goals and strategies focus primarily on operational excellence and innovation within the bounds of the Board's statutory authority. The Board's strategic goals support the Iowa Energy Plan and Governor Reynolds' goals to create a competitive business environment and develop the most innovative energy policy in the country.

Goal 1: Deliver Excellent Customer Service.

The Board serves a variety of customers including utility consumers, utilities, elected officials, interested stakeholders, fellow employees, and the general public.

Goal 2: Maximize Employee Effectiveness.

Labor expense represents the single largest component of the Board's operating expense. Thus, it is critical that the Board maximize the effectiveness of its employees.

Goal 3: Ensure Compliance with Legal Requirements without Unnecessary Regulatory Burden.

The Board will ensure enforcement of applicable legal requirements as efficiently as possible.

Goal 4: Adapt to Changes in the External Environment.

The Board must be prepared to address new issues and requirements as utility technologies and State and Federal policies evolve and be prepared to facilitate utility innovation within the bounds of statutory requirements.

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Goal 1 - Deliver Excellent Customer Service

Lead: Business Manager

Team:

Measures:

- Time to process complaints and inquiries relative to Board established guidelines.
- Time to process filings in EFS relative to Board established guidelines.
- Use docket checklists to establish a baseline for timely processing of cases, then measure performance against the baseline.

Strategies	Actions	Person(s) Responsible	Due By
Board decisions will be based on facts in the record, comply with statute, and communicate clearly.	Implement a new style guide to promote issuance of orders that are clear and consistent in style	Regulatory attorneys.	July 1, 2018.
Procedural schedules will be set to provide parties adequate time to present their cases but take no more time than is necessary.	Establish written procedures and checklists for various docket types	Safety and Engineering manager for initial processing of E and P dockets.	July 1, 2018.
		Regulatory attorneys for formal procedural schedules.	December 31, 2018.
"	Create external user guides for various docket types.	Regulatory attorneys and Customer Service manager.	October 1, 2019.
"	Establish guidelines for determining appropriate use of scheduling and prehearing conferences.	Regulatory attorneys.	December 31, 2018.
Complaints and inquiries will be handled courteously and promptly. Responses will be based on facts and clearly communicated.	Enhance monitoring of customer service calls and training of customer service representatives.	Customer Service manager.	July 1, 2018 and ongoing thereafter.
"	Define requirements for a contact management system.	General Counsel and Managers.	August 1, 2018.

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Strategies	Actions	Person(s) Responsible	Due By
Support systems and processes used by external parties will be easy to use and allow self-service to the extent possible. Internet enabled technologies will be used to facilitate transparency and participation.	Identify the requirements for a new electronic filing system with better public interface and workflow capabilities.	Managers.	December 31, 2018.
"	Implement an improved system for tracking dockets and other projects along with workflow management	Business manager.	October 1, 2019.
"	Develop improved customer comment forms for ease of use.	PIO.	July 1, 2018.
The Board's outreach efforts (e.g., website, press releases, and public meetings) will provide a clear, complete, and transparent view of the Board's operations and allow for participation via a variety of methods suitable to the audience.	Investigate the possibility of conducting customer satisfaction surveys.	PIO and Customer Service manager.	July 1, 2020.
"	Modify hearing room to improve participant interaction, including improved technology.	Board member and PIO.	June 30, 2019.
"	Implement web-enabled solutions to promote virtual participation via webinar like Skype, or Google Meet technologies and update as new options become available.	Business manager and PIO.	Ongoing.
The Board will provide timely and accurate communication with external parties regarding the status of matters	Develop an outward facing "Items Pending" document similar to the rules review summary.	Business manager and Regulatory Law manager.	December 31, 2019.

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Goal 2 – Maximize Employee Effectiveness

Lead: Manager Safety and Engineering

Team: Managers, HR Admin

Measures:

- Percent of positions with trained backup personnel in place.
- Percent of IPPs, and performance reviews completed on schedule.
- Percent of employee desk manuals reviewed and updated annually.
- Number of employee training sessions attended.

Strategies	Actions	Person(s) Responsible	Due By
Staff will be provided clear direction and expectations through the use of position descriptions, individual performance plans, and on-going communication with management.	Schedule and hold all regular meetings (All-Staff, section, managers).	Managers.	July 1, 2018 and ongoing thereafter.
"	Establish schedule for review of IPPs, PDQs, and completion of employee evaluations in a timely manner.	COO and Managers.	Ongoing.
Staff will be provided the training, coaching, and tools needed to perform their jobs.	Identify relevant or required training opportunities (regulatory and general office training).	Managers.	September 1, 2018 and quarterly thereafter.
"	Prepare and implement training plans.	Managers.	July 1, 2019.
Pay increases will be based on performance and tied to Individual Performance Plan goal achievement.	Develop guidelines for increases.	COO and Chair.	July 1, 2018

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Strategies	Actions	Person(s) Responsible	Due By
Backup staff will be identified and trained for each function. Documentation will be in place to enable backup staff to perform the duties of primary staff.	Establish written practices and procedures for routine processes.	Managers.	July 1, 2020.
"	Conduct quarterly review of essential functions and assignments.	Managers.	July 1, 2018 and quarterly review thereafter.
Balance employee retention and turnover	Identify training ground positions and determine appropriate staff levels for anticipated attrition	Managers.	September 1, 2018 and annually thereafter.
"	Investigate employee satisfaction survey	Managers.	July 1, 2022.
Work will be planned, assigned as appropriate, and monitored.	Implement an improved system for tracking dockets and other projects.	Business Manager.	October 1, 2019
When cost effective, information technology will be used to establish process, provide documentation and transparency, reduce cost, manage work, facilitate communication with the public, and minimize error.	Continually identify and evaluate opportunities.	All staff.	September 1, 2019 and annually thereafter.

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Goal 3 - Ensure Compliance with Legal Requirements without Unnecessary Regulatory Burden.

Lead: Regulatory Law Manager

Team: Regulatory Law Manager, Energy Manager, Business Manager, Accounting Manager

Measures:

- Percent of orders issued on or before statutory deadline.
- Percent of administrative rules reviewed per the schedule established in I.A.C. 199-3.11(2).
- Percent of late payments followed up on within targeted timelines.
- Percent of late filings of followed up on within Board established timelines.

Strategies	Actions	Person(s) Responsible	Due By
Administrative rules will be reviewed as required by Iowa Code section 17A.7(2) to update or eliminate regulations that are outdated, redundant or inconsistent or incompatible with statutes and other administrative rules.	Follow schedule for administrative rules review in 199 IAC 3.11.	Regulatory Law Manager and attorney assigned to lead administrative rules reviews.	Ongoing.
The board's information systems will allow staff and external parties to easily file, find, and obtain information that is required to be filed with the board and information regarding opportunities for participation in board processes.	Identify the requirements for a new electronic filing system with better public interface and workflow capabilities.	Managers.	December 31, 2018.

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Strategies	Actions	Person(s) Responsible	Due By
Review all regular reports received by the agency for usefulness to the Board or to agency customers and eliminate unnecessary reports.	Establish and implement schedule for annual review of the list of regular filings to identify reporting requirements that are or have become obsolete or otherwise unnecessary for the Board or external users.	Energy Manager.	July 1, 2018 and annually thereafter.
"	Follow policy and procedure for billing and collection and annual reports.	Business Manager and Accounting Manager.	Ongoing.

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Goal 4 - Adapt to Changes in the External Environment

Lead: Manager Energy Section

Team: Board Members, COO, Managers, Assigned Analysts

Measures:

- Percent of Board involved in key state, regional, and national organizations.
- Number of training sessions attended.

Strategies	Actions	Person(s) Responsible	Due By
The Board staff's organizational structure, including reporting structure and individual positions, will be routinely reviewed and modified as needed to address the changing needs of the agency and the industry.	Review agency organizational structure on an ongoing basis, with a full review by August 1 of each year for budgeting purposes.	COO, Accounting Manager, HR Admin.	August 1, 2018 and annually thereafter.
The Board's internal procedures will be reviewed and adapted as needed.	Complete review of internal procedures by October 1 of each year.	Managers.	October 1, 2019 and annually thereafter.
Regular informal contacts (meetings, conference calls, etc.) will take place to facilitate communication between the Board and stakeholders.	Schedule quarterly meetings.	Energy manager.	July 1, 2018 and quarterly thereafter.
The Board will participate in national, regional, and state organizations/activities to represent Iowa's interests and to identify in advance changes that could impact regulation of Iowa's utilities.	Identify opportunities for participation.	Board members, Regulatory Law manager.	July 1, 2018 and quarterly thereafter.
"	Track participation in outside organizations and activities.	Assigned regional analysts.	Ongoing.

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Strategies	Actions	Person(s) Responsible	Due By
Whether in docketed cases or with respect to administrative issues, staff will present alternatives for consideration.	Staff memos and verbal briefings will include alternatives when appropriate.	All staff.	Ongoing.