

LICENSEE COMPLIANCE: TRANSPARENCY AND ACCESS TO INFORMATION

NARUC Energy Regulatory Partnership Program

The Public Services Regulatory Commission of Armenia
and The Iowa Utilities Board



by David Lynch
General Counsel
Iowa Utilities Board
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Overview

1. Legal framework for monitoring
2. Sources of data
3. Activities monitored
4. Uses of the information



Legal Framework for Monitoring

The IUB has broad authority to investigate:

"anything done or omitted to be done by
a public utility subject to this chapter"

(Iowa Code section 476.3)



Sources of Data

Three general methods for monitoring:

1. Periodic reports
2. Contested cases (complaints and investigations)
3. Audits



Periodic Reports

Statutory Requirements

- Automatic Adjustment Clauses
- Energy Efficiency Plans
- Emissions Plans and Budgets
- Affiliate Transactions
- Annual Reports



Periodic Reports *Required by Rule*

- Electric Service Records (20.2(5)"d")
- Residential Customer Statistics (20.2(5)"j")
- Customer Contribution Fund (20.15(5))



Contested Cases

Two principle sources:

1. Complaints by third parties about utility activities
2. Investigations initiated by the IUB



Audits

- Express statutory authority to audit utility operations (sec. 476.31)
- Similar authority to audit affiliate transactions (sec. 476.75) and provision of nonutility services (sec. 476.81)
- Audit expenses are typically charged to the utility and then included in the utility's rates



Uses of Information

Information gathered through periodic reports is examined for completeness and anomalies

- Typically, any identified issues are raised with the company first
- Then escalate to an investigation or to an audit, depending on circumstances
- Either may lead to formal contested case and IUB order resolving the matter



Uses of Information

- Address individual company activities by order directed to that company
 - Options may include civil penalties, rate adjustments, remediation plans
- Address industry issues by rulemaking
 - May limit or prohibit certain activities or encourage desirable actions



Questions?



David Lynch
Iowa Utilities Board
david.lynch@iowa.gov

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