

The Regulator's Relationship with Stakeholders

Commissioner David Hadley

Indiana Utility Regulatory Commission

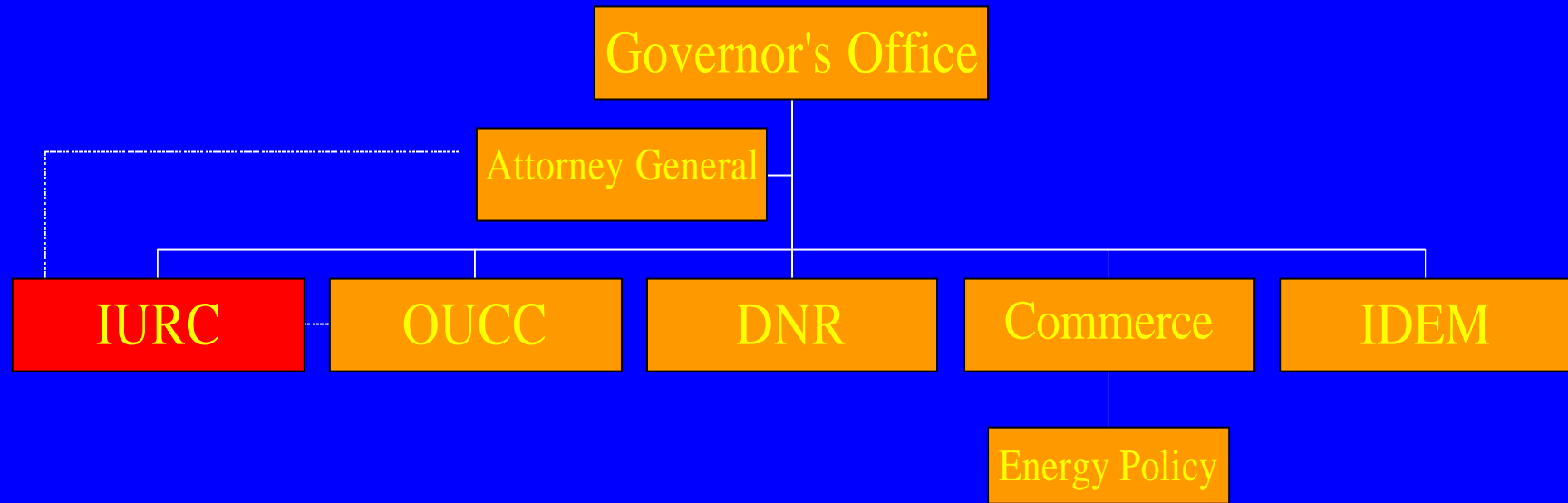
First Annual Energy Regulatory Conference

Windhoek, Namibia

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IURC Relationship with Government Officials and Agencies

Executive Branch



- **Office of Utility Consumer Counselor**
- **Department of Natural Resources**
- **Department of Commerce**
- **Indiana Department of Environmental Management**

Judicial Branch



- **When Requested, State Administrative Agency Decisions and Orders, Including Those of the IURC, May Be Appealed to the Indiana Court of Appeals**
- **Court of Appeals Decisions May Be Transferred to the Indiana Supreme Court For Further Review**

Legislative Branch

- **Information to Legislators**
- **Analysis of major issues**
- **Report to a specific Joint Committee**
- **Importance of relationship**
- **Response to constituents of elected officials**
 - **Requests and complaints**

Reports to Legislators

- **Annual Forecasts**
- **Report each summer on energy issues**
- **Annual Report of Commission**
- **Annual cost comparisons for electricity and gas**

Competing Sources of Information

- **Other agencies**
- **Interested groups outside government**
- **Media**
- **Fellow Legislators**
- **Constituents**

Additional Stakeholders

- Utilities
- Consumer Groups
- Regional Transmission Organizations
- National Regulators
- State Regulators
- News Media

Ethical Considerations

- **Public Office Is a Public Trust**
- **Citizens Are Entitled to the Integrity of Their Government and Officials**
- **Government Business is Conducted in a Manner Which Reassures Citizens That the Character and Conduct of Officials and Employees Are Above Reproach**

How Is This Accomplished?

- **Employees Carry Out Duties Impartially**
- **Employees Make Decisions and Policies Within Proper Channels of Government**
- **Employees Avoid Using Public Office For Private Gain**
- **Employees Avoid Actions, Transactions, or Associations Which Could Create a Conflict of Interest**

Indiana State Ethics Commission

- **Training For State Employees in the Executive and Administrative Branches of State Government on State Ethics Laws and Code of Conduct**
- **Investigation and Enforcement When Violations Occur**
- **Advisory Opinions -- Prevent Violations Before They Occur**

State Ethics Rules

- **Gifts, Favors, Entertainment, Food & Drink**
- **Fees For Public Speaking Engagements**
- **Political Activity**
- **Moonlighting With Other Employment**
- **Conflicts of Interest**
- **Confidential Information**
- **Personal Use of State Property and Time**
- **Post-Employment Restrictions**
- **Nepotism**

Ex Parte Communications

- **The Latin Phrase *Ex Parte* means:**
 - **on one side only**
 - **by or for one party**
 - **done for or on behalf of one party**
- **Ex Parte Communications Involve Communications Between an Interested Party and a Decision-Maker Without the Presence or Input of Other Interested Parties**

Who is Affected?

- **Ex Parte Communications Are Prohibited For All Technical Division Directors and Staff, All Administrative Law Judges, and All Commissioners**
- **These Persons Are Decision-Makers in Formally Docketed Cases Pending Before the IURC**

What is a Pending Case?

- **Any Formally Docketed Case In Which an Order Has Not Yet Been Issued**
- **If a Final Order Has Been Issued, the Case is Still “Pending” 20 Days After the Issuance Date**
- **The Time During Which an Appeal of an IURC Order is Before the Indiana Court of Appeals or Supreme Court**
- **Any Case in Which Appellate Remedies Have Not Yet Been Exhausted**