

Note: The following is a sample reporting template for submitting the Mid-Term Progress Report. This format is suggested and preferred; however, the format of the report is within the grantee's discretion.

2018 State Damage Prevention Program Grant Mid-Term Progress Report
CFDA Number: 20.720

Award Number: 693JK31840007PSDP

Project Title: State Damage Prevention (SDP) Program Grants -
2018

Date Submitted: 7.25.19

Submitted by: Magid Yousif

Specific Objective(s) of the Agreement

Under this grant agreement, the recipient will:

Improve the damage prevention program by facilitating compliance and assisting the Iowa Attorney General with enforcement of the damage prevention laws. (Elements 1-9)

Workscope

Under the terms of this grant agreement, the Recipient will address the following applicable elements listed in the approved application, pursuant to 49 U.S.C. §60134 (a), (b).

- Element 1 (Effective Communications): Participation by operators, excavators, and other stakeholders in developing and implementing methods for establishing and maintaining effective communications between stakeholders — from receipt of an excavation notification to successful completion of the excavation, as appropriate. (Applicable)
- Element 2 (Comprehensive Stakeholder Support): A process for fostering and ensuring the support and partnership of stakeholders, including excavators, operators, locators, designers, and local government, in all phases of the program. (Applicable)
- Element 3 (Operator Internal Performance Measurement): A process for reviewing the adequacy of a pipeline operator's internal performance measures regarding persons performing locating services and quality assurance programs. (Applicable)
- Element 4 (Effective Employee Training): Participation by operators, excavators, and other stakeholders in developing and implementing effective employee training programs to ensure that operators, the one-call center, the enforcing agency, and the excavators have partnered to design and implement training for the employees of operators, excavators, and locators. (Applicable)
- Element 5 (Public Education): A process for fostering and ensuring active participation by all stakeholders in public education for damage prevention activities. (Applicable)

- Element 6 (Dispute Resolution): A process for resolving disputes that defines the State authority's role as a partner and facilitator to resolve issues. (Applicable)
- Element 7 (Enforcement): Enforcement of State damage prevention laws and regulations for all aspects of the damage prevention process, including public education, and the use of civil penalties for violations assessable by the appropriate State authority. (Applicable)
- Element 8 (Technology): A process for fostering and promoting the use, by all appropriate stakeholders, of improving technologies that may enhance communications, underground pipeline locating capability, and gathering and analyzing information about the accuracy and effectiveness of locating programs. (Applicable)
- Element 9 (Damage Prevention Program Review): A process for review and analysis of the effectiveness of each program element, including a means for implementing improvements identified by such program reviews.(Applicable)

Accomplishments for this period (Item 1 under Article IX, Section 9.01 Progress Report: “A comparison of actual accomplishments to the objectives established for the period.”)

Overall, the Iowa Utilities Board (IUB) staff is making good progress on facilitating compliance and assisting the Iowa Attorney General with enforcement of the damage prevention laws. This includes adding One Call complaints to our internal customer service database and all of the applicable investigative procedures and protocols. The IUB has two customer service analysts who conduct the initial investigations and prepare draft resolutions, while two attorneys are assigned to review resolution reports and make recommendations on referrals to the Iowa Attorney General.

Element 1 (Effective Communications)

The Board issued an order in Docket No. INU-2017-0001 on November 29, 2018. The Board opened this investigation to obtain information from utilities and other interested persons about compliance with Iowa One Call and ways to improve the effectiveness of the program. Because the vast majority of incidents involve investor-owned utilities that are regulated, the initial direction of the Board was to require them to have written One Call and damage prevention procedures in place. All three utilities now have written One Call and Damage prevention procedures in place.

Board staff met with excavators, locators and One Call officials at the Common Ground Iowa annual meeting on December 7, 2018. The program manager and the attorney involved in investigating One Call complaints attended and met with excavators and One Call officials after the meeting. The role of the IUB in damage prevention was shared with the attendees.

The program manager also attended the Iowa One Call 2019 Excavator Safety Awareness Program on January 10, 2019 in Ames, Iowa, along with excavators, utilities, locators, and others.

In addition, the Board Chair and staff met with local contractors and the Iowa Department of Transportation (IDOT) to discuss issues faced by contractors on both state and local projects. The contractors were informed about the IUB's complaint process and role in the

investigations in conjunction with the Attorney General's office.

The program manager met with One Call, locators and excavators at a NUCA Contractor event on March 7, 2019. Board staff shared the role of the IUB in damage prevention and damage investigations.

Element 2 (Comprehensive Stakeholder Support)

This element was assigned to the Safety and Engineering Supervisor and a process document is being drafted to address planning sessions to obtain the support and partnership of stakeholders, including excavators, operators, locators, designers, and local government. This plan includes outlining the introductory message, planning and scheduling meetings with contractors and messaging materials to educate all participants or provide them with options for training of their employees.

Element 3 (Operator Internal Performance Measurement)

Graphs of the damage prevention information contained in the PHMSA annual reports have been created showing trends for each utility. These graphs are presented to the Iowa Utilities Board for their review and approval. The graphs are then presented to the utilities during their distribution integrity management plan inspections.

The PHMSA data identifies that 67 percent of the pipeline hits occur on the distribution pipeline of the largest utility operating in Iowa. In 2018, 97 percent of the pipeline hits occurred on the three largest utilities' pipelines. For the largest utility, the leading cause of excavation damage is attributed to small contractors, at 84 percent; a total of 44 percent of these small contractor hits occur within the Des Moines metro area. The Damage Information Reporting Tool local and national data also support contract/excavator damage as the largest cause of underground hits. In 2018, the largest utility reported there were no pipeline excavation damages due to farming activity.

Element 4 (Effective Employee Training)

The Safety and Engineering Supervisor is working on development of a training plan that includes the process by which operators, excavators, and other stakeholders participate in the design and implementation of training programs for employees.

Element 5 (Public Education)

Educational supplies, including USB car chargers, and USB key chain chargers with the Call 811 logo, have been purchased and used in conjunction with various meetings with One Call, industry, contractors, and locators to encourage damage prevention discussions.

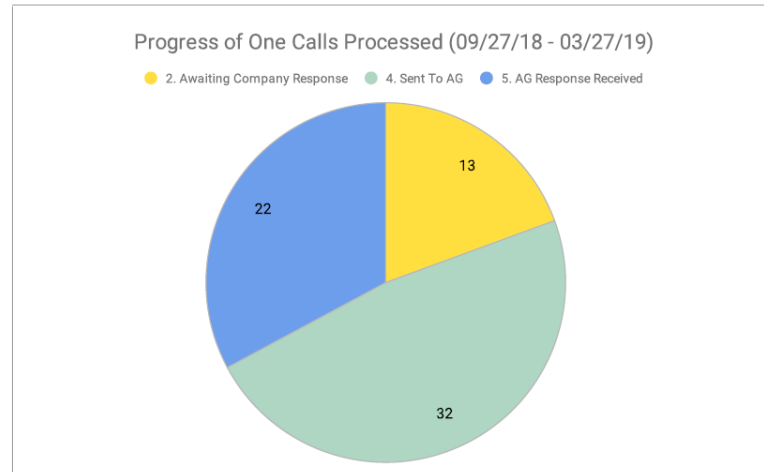
Element 6 (Dispute Resolution)

The Safety and Engineering Supervisor is working on the process for resolving disputes that defines the State authority's role as a partner and facilitator to resolve issues. The process will be outlined and presented to the attorney general's office and with One Call representatives to evaluate and ensure it meets their desired outcomes and goals.

Element 7 (Enforcement)

The IUB staff has worked on a total of 67 complaints during the performance period. Mid-year personnel additions will be focused on this activity.

Progress of One Calls Processed During Performance Period (09/27/18 - 03/27/19)	
Progress	Count of One Calls
2. Awaiting Company Response	13
4. Sent To AG	32
5. AG Response Received	22
Grand Total	67



With the IUB Memorandum of Understanding regarding One Call investigations, the Attorney General's office has been able to focus on litigation while the IUB performs the initial investigation. Five One Call lawsuits were filed on May 9, 2019 and during the period ending March 27, 2019, 13 warning letters were issued by the Attorney General's office.¹

Element 8 (Technology)

IUB staff is developing a process for fostering and promoting the use, by all appropriate stakeholders, of improving technologies that may enhance communications, underground pipeline locating capability, and gathering and analyzing information about the accuracy and effectiveness of locating programs.

Element 9 (Damage Prevention Program Review)

The year-end review will be completed in September.

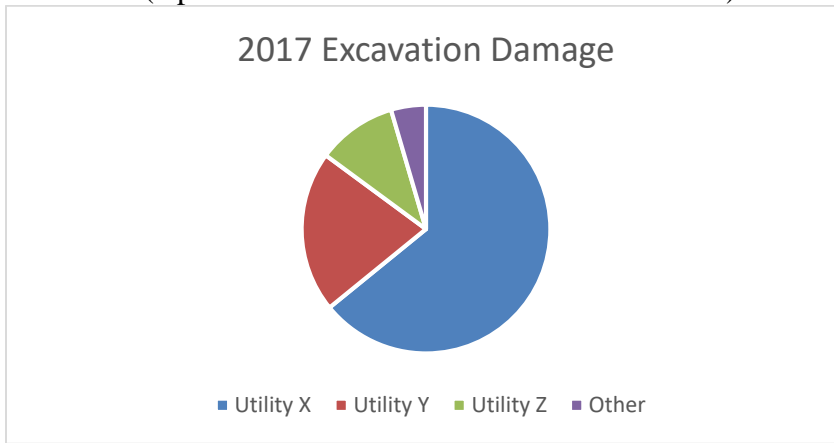
Quantifiable Metrics/Measures of Effectiveness (Item 2 under Article IX, Section 9.01 Progress Report: "Where the output of the project can be quantified, a computation of the cost per unit of output.")

Element 1 (Effective Communications Meeting)

Date	Description	Hours	Attendees
7-Dec-18	Common Ground Iowa Annual Meeting	2.5	unknown
10-Jan-19	One Call Damage Prevention Seminar	3	200
01-Mar-19	Association of General Contractors of Iowa / Iowa Department of Transportation	5.25	25
07-Mar-19	NUCA Contractor Damage Prevention Roundtable	4	50

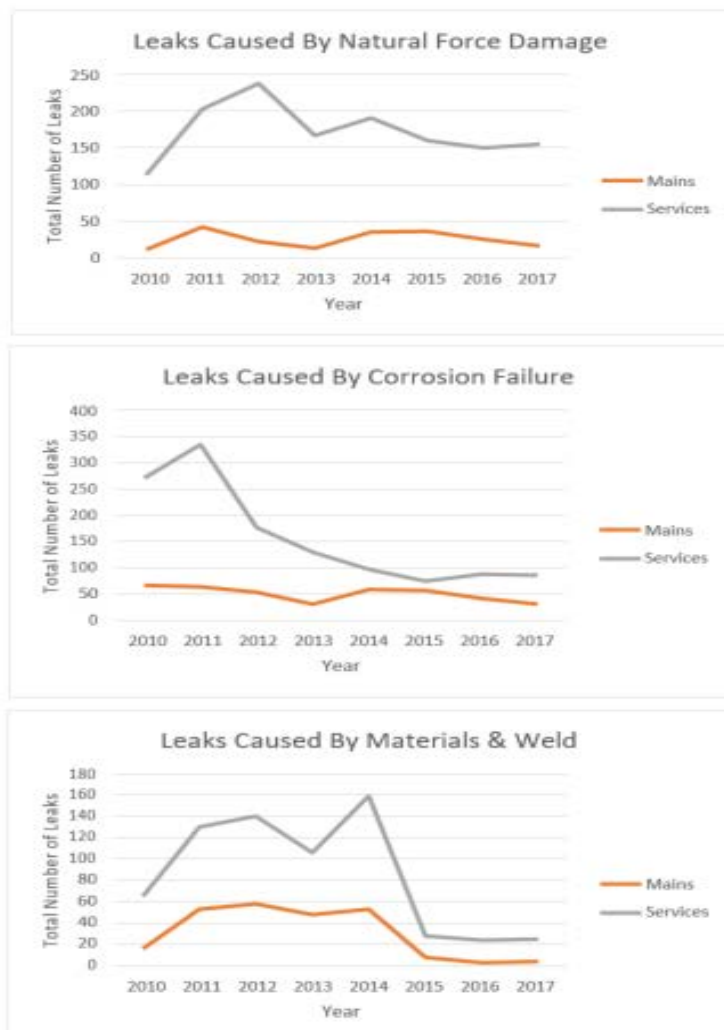
¹ Some of the warning letters were for complaints that predate the start of the performance year.

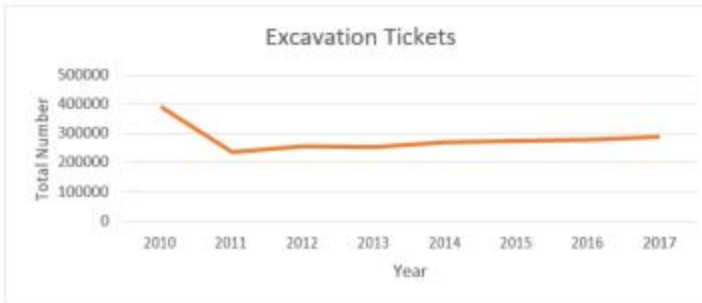
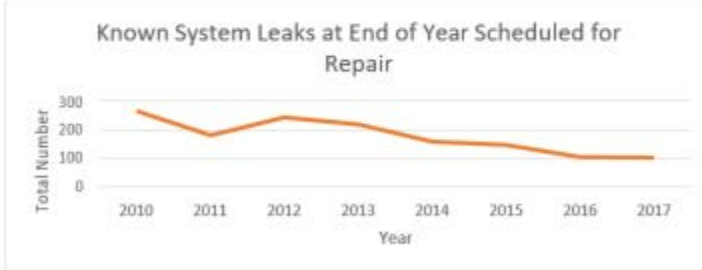
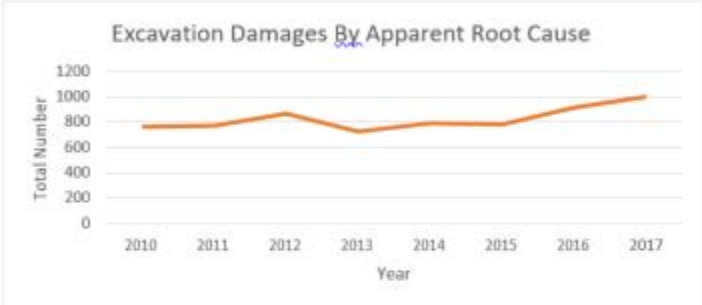
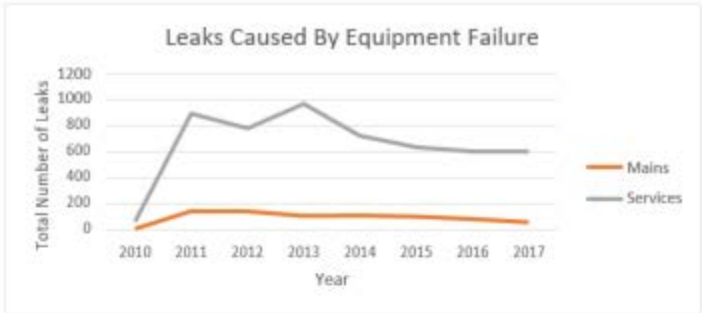
Element 3 (Operator Internal Performance Measurement)

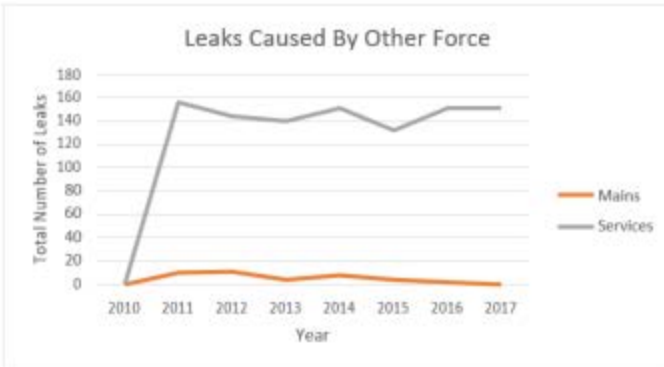
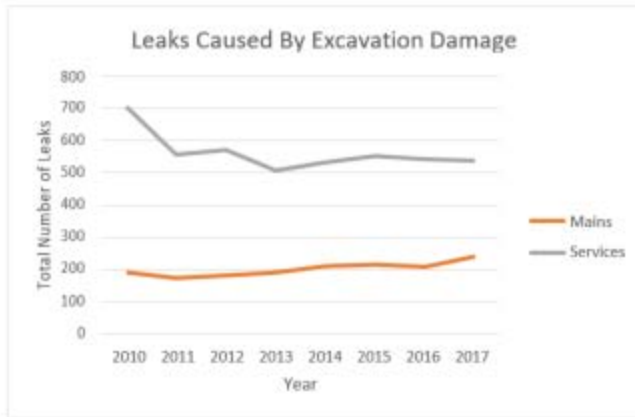


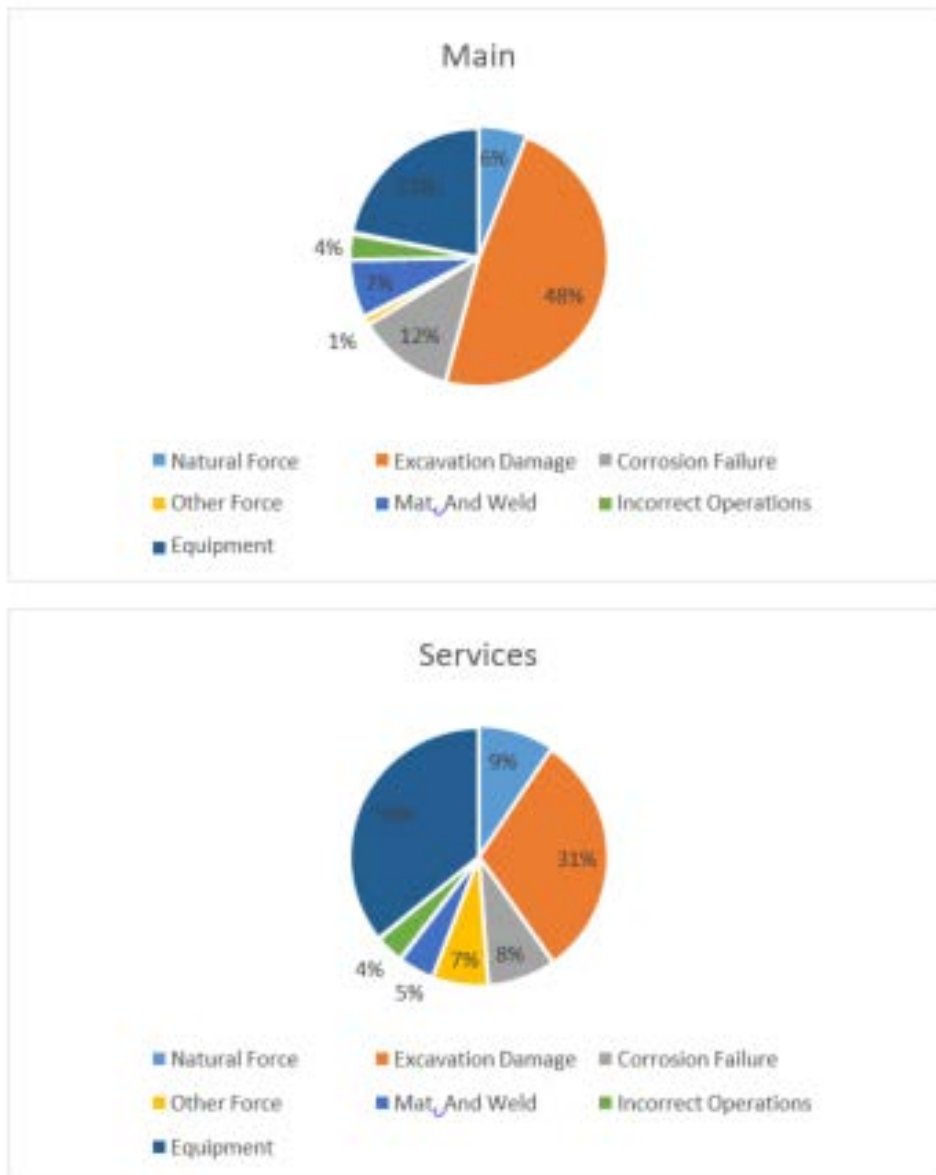
Damage prevention graphs for 64 utilities were created using 48.75 hours of staff time. The PHMSA annual report data was used as the source. An example of the Utility Damage Prevention Graphs created for one utility is included below.

Utility X 12/28/2018 |









Element 7 (Enforcement)

Number of One Call Customer Complaint Investigations	56
Total hours	118.75

During the period ending March 27, 2019, the Attorney General’s office issued 13 warning letters. Five One Call lawsuits were filed on May 9, 2019.

Issues, Problems or Challenges (Item 3 under Article IX, Section 9.01 Progress Report: “The reasons for slippage if established objectives were not met. “)

None

Mid-term Financial Status Report

The mid-term financial report will be sent as a separate attachment to the AA and AOTR (Form SF-425). Included will be a breakdown of costs for each object class category (Personnel, Fringe Benefits, Travel, Equipment, Supplies, Contractual, Other and Indirect Charges).

Plans for Next Period (Remainder of Grant)

Continue with the objectives listed above.

Requests of the AOR and/or PHMSA

No actions requested at this time.