

**Iowa Utilities Board  
2019 State Damage Prevention Program Final Report  
CFDA Number: 20.720**

**Award Number:** 693JK31940005PSDP

**Project Title:** State Damage Prevention (SDP) Program Grants - 2019

**Date Submitted:** 4.28.2021

**Submitted by:** Magid Yousif & Keith Wieland  
Iowa Utilities Board

**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. (Not 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. (Not 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 9.02 Final Report: “A comparison of actual accomplishments to the objectives established for the period.”)**

Overall, the Iowa Utilities Board (IUB) made good progress facilitating compliance and assisting the Iowa Attorney General’s office (IAG) with enforcement of the Damage Prevention laws. The agency added One Call complaints to our internal customer service datasets and implemented an improved process for all the investigative complaint procedures and protocols. The IUB has a One Call investigative unit (IUB staff) that includes an investigator, utilities analysts, a utilities engineer, an attorney, communication members, and legal interns.

The investigator works primarily on conducting One Call violations investigations and prepares draft summaries. The assigned attorney reviews the investigation summaries, which are prepared for the IAG.

The utilities engineer works on the Damage Prevention program as well as the One Call program and provides technical assistance to One Call violation investigations. Also, the utilities engineer assists in analyzing the damage data collected from the operator annual reports and leads the program effort in engaging with and supporting stakeholders.

IUB staff achieved measurable goals by attending six meetings of the targeted six entities described in the 2019 Damage Prevention application, including: Iowa One Call (IOC), Iowa Pipeline Alliance, National Utilities Contractors Association, Association of General Contractors, Iowa Association of Electric Cooperatives, and Iowa Communications Alliance. One goal in attending these meetings for the “Effective Communication” targeted meetings and workshops was to receive constructive feedback to improve our Damage Prevention plan. Regarding “Comprehensive Stakeholder Support,” IUB staff noted operator attendance for these Damage Prevention activities. Through the remainder of the program year, IUB staff continued interaction with Iowa’s four largest investor-owned gas utilities regarding their reported One Call deficiencies and excavation damages.

Additionally, IUB staff continued interacting with IOC regarding its locator evaluation surveys. IUB staff will continue to request the gas utilities provide locating training requirements for data indicators regarding damages due to incorrect locates. Iowa did not request funds under “Effective Employee Training” during this grant’s performance period. IUB staff has pivoted on the “Public Education” element from “Call 811” to including individual and joint public announcements from Iowa’s two agencies, the IUB and the IAG, regarding their roles in investigation and enforcement of Iowa’s One Call laws. The IUB

will continue to refine and publish frequently asked questions on IUB's external website as well as provide metrics and information to the website to provide public information regarding the Damage Prevention program.

As previously mentioned, IUB and IAG continue their cooperative and respective investigation and enforcement roles regarding "Dispute Resolution" and "Enforcement." Iowa did not apply for funds under "Technology" during this grant's performance period.

IUB continues to review and evaluate the program performance and its objective. The IUB planned that this calendar year 2019 is the beginning of three phases: 1) Develop process and procedure documents and onboarding training for new staff; 2) Make the process more efficient and develop quality assurance controls; and 3) Establish continuous process improvement controls by writing policies and procedures for "One Call Grant Modifications," "Damage Prevention Grant Modifications," "One-Call Grant Application," "Damage Prevention Grant Application," "Damage Prevention Grant Mid-Year Reporting (non-financial)," and/or "Damage Prevention Grant Year-End Reporting (non-financial)."

At this time, IUB has completed cursory searches to find in-person activities, having experienced scheduling delays and postponements due to the COVID-19 response. Potential opportunities include public education events with the Iowa Communications Alliance Cyber Con V and the Associated General Contractors of Iowa State Convention. Also, please note that the national and state proclamations of emergency due to the COVID-19 response have delayed portions of granted public education components. These educational opportunities may be rescheduled for winter of 2020 or later. IUB requested an additional 90 days extension for the Public Education element for performance year 2019; however, PHMSA approved a 365-day extension for the 2019 performance year.

### **Element 1 (Effective Communications)**

In application for these funds and under this element, IUB's plan stated:

*The IUB will regularly meet with contractors, utilities, and other stakeholders to solicit input and discuss improvements to the Damage Prevention program.*

*Specific meetings targeted are the One Call Damage Prevention Workshops, CGI meetings, National Utility Contractor Association Iowa Chapter Damage Prevention roundtable, Association of General Contractors State Convention, Iowa Association of Electric Cooperatives Annual Meeting, Iowa Communications Alliance Annual Meeting and associated meetings for stakeholder groups throughout the year.*

*The budget for this element will be used to cover personnel, fringe benefits, travel, and communication costs for the IUB board members and IUB staff involved in attending the specific meetings outlined any associated meetings for stakeholder groups throughout the year.*

IUB staff attended the Excavator Safety Awareness Program (ESAP) training sessions in Carroll, Iowa, on January 14, 2020; in Ottumwa, Iowa, on January 16, 2020, and in Mason City, Iowa, on March 10, 2020, in order to receive feedback from stakeholders about Damage Prevention, One Call investigations, and other topics shared by individuals. The

IOC presented at these training sessions. Additionally, at the Mason City ESAP training session, IUB staff distributed educational materials to more than 70 individuals. More than 100 excavators attended each of the IOC-led training sessions, which included a presentation on Iowa One Call laws, a video teaching the same, and a question and answer session.

In a meeting with the National Utilities Contractors Association (NUCA) on January 23, 2020, IUB and IOC reviewed NUCA's suggestions for a performance evaluation of all utilities' locates. IOC forwarded draft surveys to NUCA and IUB (locator performance evaluations), which would be potentially completed during the One Call ticketing process.

On August 20 and 22 and September 4, 2020, IUB staff attended farmers' markets in the Iowa cities of Washington, Bloomfield, and Centerville, Iowa. Staff interacted with the public, distributed Call 811 educational items, and explained the IUB's role and the IAG's role. Staff goals are to ensure that individuals understood that 811 is One Call and if something failed in the One Call process they should notify the IUB or the IAG's office. Staff described the most typical One Call violations, which include late locates, incorrect locates, and excavating without a valid One Call ticket. **Image 1** below shows IUB's booth at IOC's ESAP training. **Image 2** below shows IUB's booth at the Bloomfield farmers' market. **Image 3** below shows IUB's booth at the Centerville farmers' market.



**Image 1.** IUB booth at the Excavator's Safety Awareness Program (ESAP) training hosted by the IOC.





Image 2. IUB booth at the Bloomfield, Iowa, farmers' market.





**Image 3.** IUB booth at the Centerville, Iowa, farmers' market.

## **Element 2 (Comprehensive Stakeholder Support)**

As identified in Element 1, IUB and IOC reviewed NUCA's suggestions for a performance evaluation of all utilities' locates. IOC forwarded the draft surveys (locator performance evaluations) to the IUB. IUB staff responded with no additions to the survey.

In application for these funds and under this element, IUB described it would:

*In 2018, 67% of pipeline hits occurred with the largest investor-owned facility. The metro areas represented the majority of the hits, with 44% occurring within the Des Moines metro area. None of the 2018 pipeline hits were due to farming. Third-party excavation damage is also the most significant factor in the DIRT tool. The 2019 Element 2 funds will focus on excavators in the Des Moines area.*

*Funds will be used to conduct, analyze, and respond to stakeholder surveys aimed at understanding reasons for noncompliance with the Iowa One Call law. Common complaints and general satisfaction with the Damage Prevention program will be tracked from one survey period to the next to deliver measurable results. Surveys will be focused on excavators in largest metro area.*

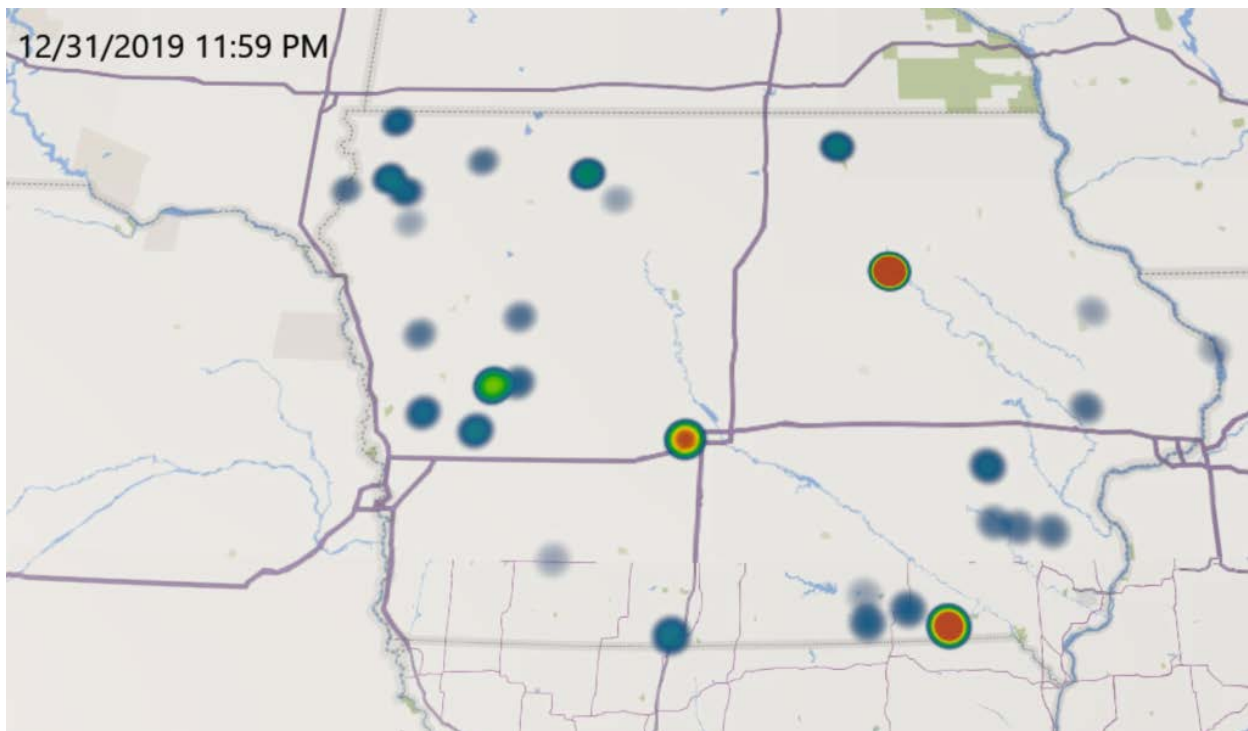
*The budget for this element will be used to cover personnel, fringe benefits, travel, and communication costs for IUB staff involved in conducting,*

*analyzing and responding to surveys with stakeholders. Emphasis will be on excavators in the Des Moines metro area by reaching out directly to this stakeholder group.*

As identified in Element 1, IUB staff attended ESAP training sessions in Mason City, Carroll, and Ottumwa, Iowa, in order to evaluate gas operators' inclusion in One Call activities. At these training sessions, IUB staff reviewed operators' handouts, evaluated operator brochures to ensure the provided brochures included the three senses of leaks detection, and remarked to the operator representatives that they had provided brochures in multilingual format. Further, IUB staff observed and concluded that Iowa One Call's ESAP continues to be a successful component in furthering stakeholder support.

Staff also attended a Coordinated Response Exercise (CoRE) training with the Iowa Pipeline Association. Further, IUB staff evaluated the operator's pamphlets. At the training session, IUB staff reviewed handouts and operator brochures to ensure the provided brochures included the three senses of leaks detection.

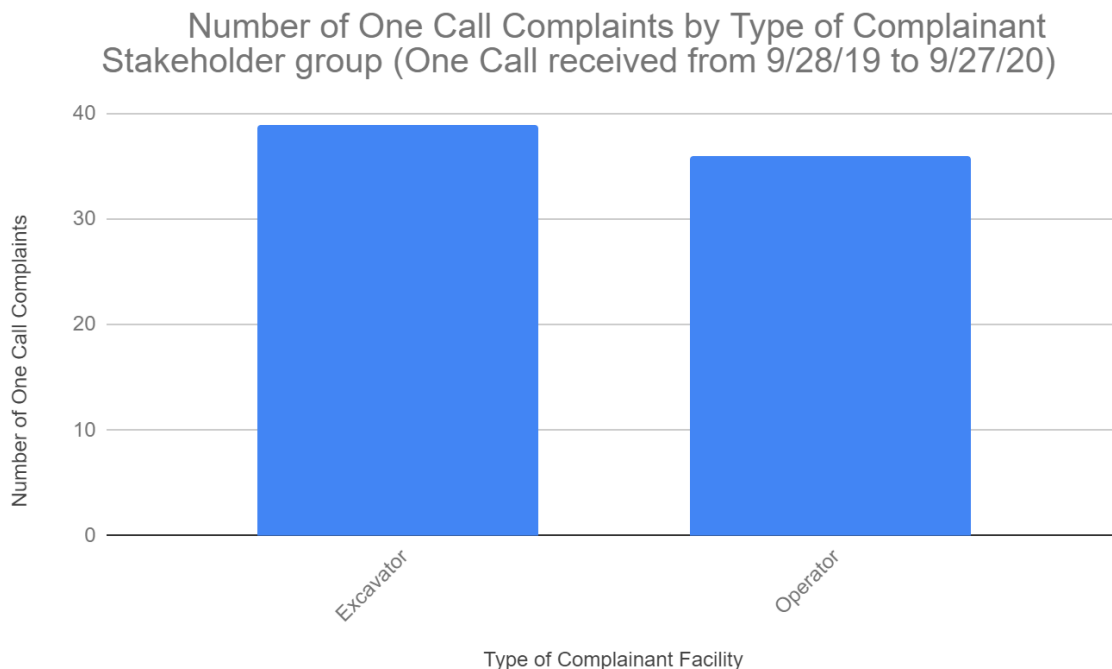
During the last year, IUB staff has focused on ensuring individual stakeholder groups (in this case, excavators) submit One Call complaints. IUB staff focused on this stakeholder group by attending a National Utilities Contractors Association Roundtable, three farmers' markets, and three Iowa One Call-sponsored ESAP training sessions. IUB staff selected approximately five geographically centered locations, depicted below in **Image 4**. IUB staff focused farmers' markets public education efforts identified in the heat map listed below in **Image 4** as the area in south-southeast Iowa. A heat map is a geographically located map, which, in this case, accumulates data in the form of gas underground facility damages. IUB staff used data submitted to PHMSA's annual reports from 2015 until 2019. In addition to this criteria, farmers' markets were selected based upon anticipated high prevalence of excavators and based upon COVID-19 restrictions canceling numerous in-person events.



**Image 4.** Cumulative heat map of pipeline damages for Iowa.

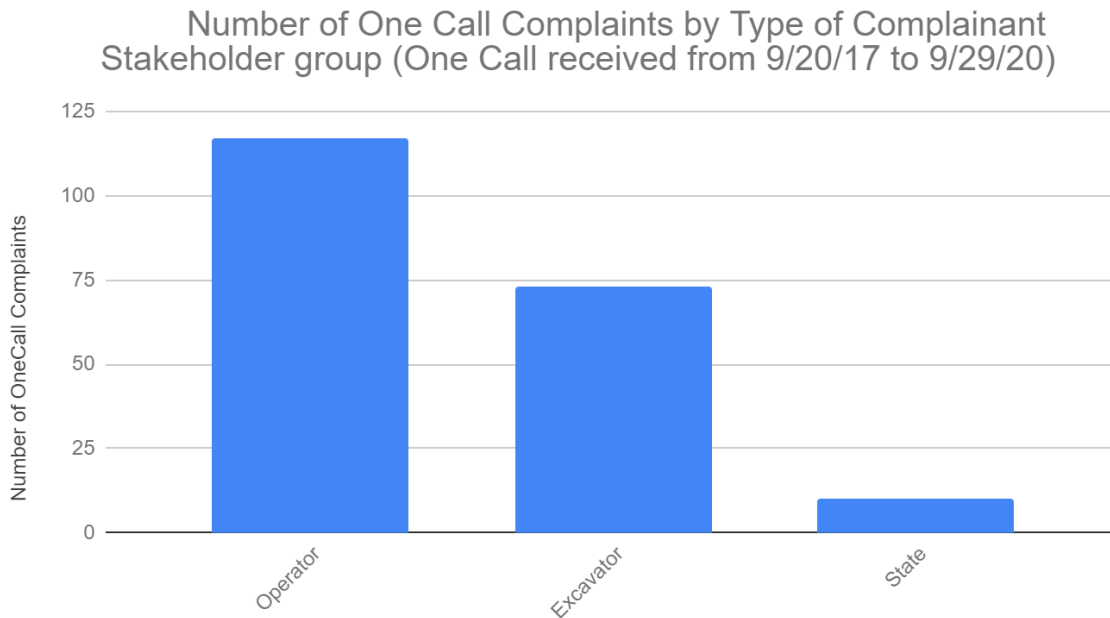
The number of One Call complaints by type of complainant stakeholder group from September 28, 2019, through September 27, 2020, are shown in **Chart 1**. Please note that the ratio of excavator to operator submissions are in the excavator's favor for performance year 2019. Restating this point, until this performance year the IUB/IAG joint effort has received more operator One Call complaints than excavator One Call complaints. IUB staff believes this is to be a true representation of anticipated submitters due to the sheer proportion of population sizes. While, historically, receiving a greater number of complaints from operators than excavators, IUB staff this year instead focused their messaging to events more frequented by members of the excavator's stakeholder group rather than the operators. Please further note that, in Iowa, contracted locators are held accountable for One Call violations through their contracting operators. Accordingly, operators submit One Call complaints on behalf of their contracted locators.

This performance year has reversed the Iowa trend of having more complainants from the Operator stakeholder group. This acute trend, depicted in **Chart 2**, is believed to be caused by a change in organizational roles as stakeholders would report One Call complaints to the Iowa Secretary of State (SoS) with coordination of the IAG's office. The IUB does not at this time have One Call complaints information submitted to the SoS. While the IAG has always been involved in the process, One Call complaints have been reported to either the IUB or the IAG's office since 2017. The IUB and IAG formalized their cooperation during the summer of 2018. IUB staff intends to balance future stakeholder attendance between excavators and operators (inclusive of locators), anticipating that the excavator stakeholder group will continue to grow organically. During performance year 2020, IUB staff will continue to develop a plan focusing on the One Call stakeholder group as complainant.



**Chart 1.** Number of One Call Complaints by Type of Complainant Stakeholder group from September 28, 2019, through September 27, 2020.





**Chart 2.** Number of One Call Complaints Received by Type of Complainant Stakeholder group since September 20, 2017.

IUB staff classified and reviewed activities found in IUB Docket No. INU-2017-0001, publications from Planet Underground, and Common Ground Alliance (CGA) in order to identify best practices. Staff categorized and ranked 337 practices from between “Best” and “Good” in an effort to develop a list of Frequently Asked Questions (FAQ’s) for publication on the IUB external website. IUB staff met on multiple occasions to refine the topics according to Iowa’s One Call law (Iowa Code 480) with focus on the best practices categorized in said docket. The result at this time has been the unpublished FAQ. Staff met repeatedly to plan the expansion of the IUB’s webpages to include this FAQ in a section devoted to Damage Prevention. IUB staff have named the IUB Damage Prevention program and its corresponding members as the One Call Investigative Unit (OCIU).

Staff created a survey designed to understand why excavators wouldn’t use Iowa’s One Call process in an effort to curtail future excavations completed without One Call locates. Staff conducted a test of that Excavator Survey and completed a Six Sigma, a process used to evaluate the effectiveness and intended outcome of that survey. Following that review, Staff revised the process, plan, and content of that survey to move the format to an online delivery and changed the content to educate Iowa’s One Call law and allow the surveyed individual to self-assess his or her prior knowledge. Staff intends to complete and analyze this survey before the end of calendar year 2020 to prepare a plan for performance year 2020 Public Education activities. Currently, this is targeted for completion on February 9, 2021.

### Element 3 (Operator Internal Performance Measurement)

In application for these funds and under this element, IUB described:

*Board staff will contact other state Damage Prevention personnel to discuss, review, and summarize state requirements for locator service training and quality assurance programs. The results will be shared with the IUB Board and shared with other states through the National Association of Pipeline Program Manager Representatives (NAPSR).*

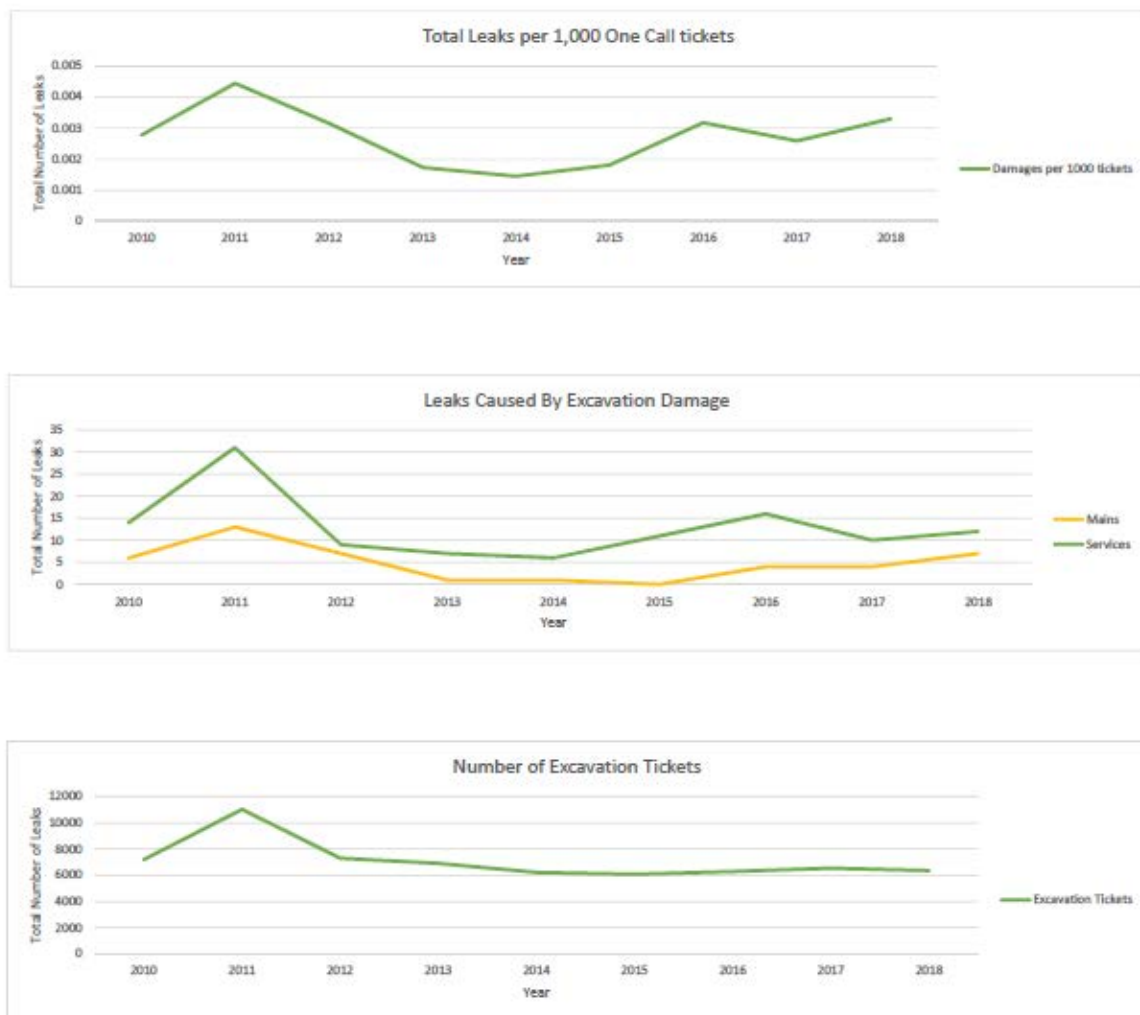
*The budget for this element will be used to cover personnel, fringe benefits, travel, and communication costs for IUB Board staff to contact other state Damage Prevention personnel to review and summarize state requirements for locator service training and quality assurance programs.*

*Note: all travel expenses are included in Element 9.*

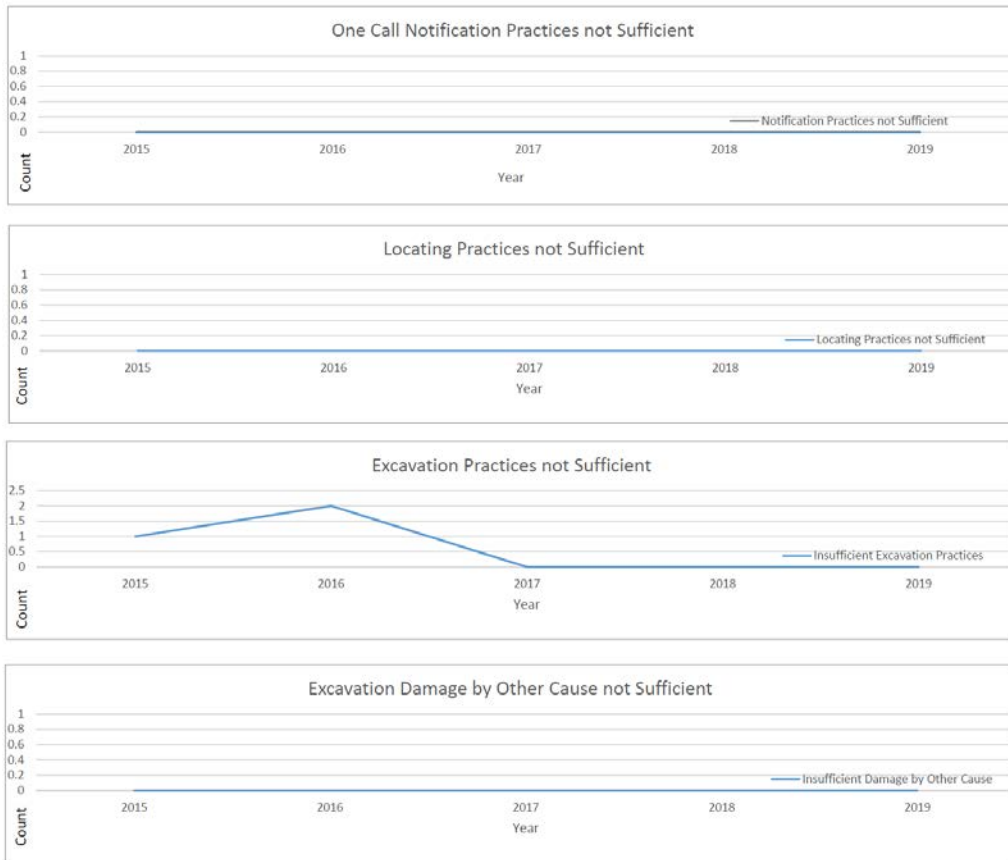
During the first half of this performance period, IUB staff reviewed information from Iowa's largest investor-owned gas utilities. These utilities were a party to most of the underground damages in Iowa. IUB staff mined data from these investor-owned utilities' Pipeline and Hazardous Materials Safety Administration (PHMSA) annual reports regarding excavation damages and One Call metrics. The utilities responded with discussions of their ongoing efforts to increase the effectiveness of their Damage Prevention programs. IUB staff continued to evaluate the utilities for One Call inadequacies and damages analysis. In 2020, IUB staff continued dialogues begun in 2019 by reviewing the utilities' underground damages and One Call metrics.

The images depicted below in **Images 5 and 6** depict the data from PHMSA's annual reports. Staff graphed the One Call and Damages metrics depicted below, looking for trends and high rates within this data found in **Images 5 and 6** in addition to the calculations found within **Chart 3**. As previously described and in 2020, Staff filed letters with Iowa's four largest operators, inquiring about identified questions and concerns for One Call and Damages metrics. Further, Staff advocated reviews of Common Ground Alliance's (CGA's) Best Practices. During this process and while searching for standardization of common questions and concerns, Staff compiled a list of Operators having similar questions and concerns. Staff anticipates in performance year 2020 to further develop this standardization and utilize this process to expand these Damage Prevention goals by filing more letters with additional Iowa operators utilizing the expanded and refined criteria. Further, Staff intends to develop and utilize this process to conduct Damage Prevention inspections that fall within this criteria.

Staff created, evaluated, and revised a survey designed to poll other states in their One Call training and Quality Assurance training processes. Staff intends to complete and analyze this survey before the end of calendar year 2020 to pinpoint Operator Internal Performance measurement activities for performance year 2020. Current target date to this point is January 25, 2021.



**Image 5.** Example Internal Operator Performance charts depicting Operator's annual reported numbers for Leaks per 1,000 One Call tickets, Leaks Caused by Excavation Damage, and Number of Excavation tickets.



**Image 6.** Example Internal Operator Performance charts depicting Operator’s annual reported numbers for One Call Notification Practices not Sufficient, Locating Practices not Sufficient, Excavation Practices not Sufficient, Excavation Damage by Other Cause not Sufficient.

Operator	Tickets	Excavation Damages	Ratio	% One Call	% Locator	% Excavator	% Other
Hartley	248	1	0.403%	0.000%	0.000%	0.403%	0.000%
Bloomfield	541	2	0.370%	0.000%	0.000%	0.370%	0.000%
Cedar Falls	6544	23	0.351%	0.000%	0.015%	0.336%	0.000%
Emmetsburg	660	2	0.303%	0.000%	0.152%	0.152%	0.000%
Hawarden	526	2	0.380%	0.000%	0.000%	0.190%	0.190%
IPL	99318	279	0.281%	0.043%	0.080%	0.145%	0.013%
BHE	66556	142	0.213%	0.027%	0.063%	0.108%	0.015%
Wellman	270	3	1.111%	0.000%	0.370%	0.741%	0.000%
MEC	293681	1065	0.363%	0.060%	0.071%	0.194%	0.038%
Orange City	851	2	0.235%	0.000%	0.000%	0.235%	0.000%
Liberty	2084	14	0.672%	0.336%	0.096%	0.240%	0.000%

**Chart 3.** Operator’s data from PHMSA annual reports for 2019 calculating metrics against the number of One Call tickets and excavations by Operator reported causes.

The PHMSA data identifies that 67 percent of the pipeline hits occur on the distribution pipeline for 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 was attributed to small contractors, at 84 percent. A total of 44 percent of these small contractor hits occurred within the Des Moines metro area. The Damage Information Reporting Tool (DIRT) local and national data also supports contractor/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)**

Iowa did not apply for funds for this element.

#### **Element 5 (Public Education)**

In application for these funds and under this element, IUB described:

*The IUB staff will increase public awareness by attending various conferences across the state to promote Iowa's Damage Prevention programs tailored to target all stakeholders. Specific emphasis will be placed on promotion to excavators, the largest source of One Call violations.*

*Promotional materials supporting Damage Prevention will be distributed at these events to reinforce 811 message.*

*In addition, online resources and links will be provided on the IUB website from other grant elements.*

*The budget for this element will be used to cover personnel, fringe benefits, travel, and communications costs for IUB staff attending conferences and meetings with stakeholder groups, specifically excavators. Updating the IUB website and providing educational materials will also be included.*

The Damage Prevention team met on November 25, 2019, to discuss categorization of Docket No. INU-2017-0001 into Best Practices, which will be incorporated into an Excavator's Frequently Asked Questions (Excavator FAQ) list to be published on IUB's website. This report goes into greater detail on this project within Element 2. As noted in Elements 1 and 2, Staff attended ESAP training sessions in Mason City, Carroll, and Ottumwa, Iowa, in order to be available to receive feedback from stakeholders. Further, at this training session, staff operated a table/booth to distribute educational materials regarding IUB and IAG's roles in Damage Prevention regarding investigation and enforcement.

Staff attended the Iowa Pipeline Association meeting in Iowa City, Iowa, on October 28, 2019. The meeting was designed to provide training for emergency responders, police personnel, fire personnel, and government officials in the event of a pipeline release of products. At the training session, IUB staff reviewed handouts, evaluated operator brochures to ensure the provided brochures included the three senses of leaks detection, and remarked to the operator representatives if said brochures included multilingual information.

Staff coordinated with IOC staff to include an advertisement within IOC's Quarterly

Excavator Newsletter. An excerpt from this newsletter is found below in **Image 7**.

each of the required fields – this tutorial should be extremely beneficial to those who are hesitant to give our online ticketing system a try.

**Iowa Utilities Board**  
**One Call Law**  
*Working Together to Keep Iowans Safe*

**Iowa Attorney General**  
**Enforces Iowa One Call Law**  
Iowa Department of Justice  
Office of the Attorney General  
Environmental Law Division  
1305 E. Walnut Street  
Des Moines, IA 50139  
Phone: 515-281-5164  
<https://www.iowaattorneygeneral.gov/onecall>

**Iowa Utilities Board Investigates Potential One Call Violations**  
Iowa Utilities Board  
One Call Investigative Team  
1375 E. Court Ave.  
Des Moines, IA 50319  
Phone: 515-725-7300  
<https://iub.iowa.gov>



**Review our One Call Investigation and Enforcement video:**  
[www.youtube.com/watch?v=ugjDNvjTN9k](http://www.youtube.com/watch?v=ugjDNvjTN9k)



**Report potential One Call violations**  
<https://www.iowaattorneygeneral.gov/onecall/onecall-complaints-and-enforcement>



**12**

**CGA TECHNOLOGY CASE STUDY**

**IOWA ONE CALL**

**Image 7.** Iowa One Call Quarterly excerpt, Volume 28, No. 2.

The IUB modified its website to include additional investigative and enforcement [links](#) and resources in order to increase public availability to enforcement submissions. The IUB also provided educational materials for Iowa One Call laws, investigations, and enforcement.

IAG updated its [website](#) to include the additional lawsuits filed in 2019 and 2020.

Staff purchased educational supplies, including USB car chargers and USB keychains with the Call 811 logo, lens wipes, water bottles, and coffee mugs. Staff distributed in conjunction with various meetings with Iowa One Call, industry, contractors, and locators to encourage Damage Prevention discussions. Staff provided these materials at previously described ESAP training and farmers' markets. The IUB requested an extension of the 2019 performance period in order to complete distribution at two intended excavator safety training events sponsored by the Iowa Local Technical Access Program (Iowa LTAP), designed to target and provide training to smaller Iowa municipalities and communities. The intended, in-person events were scheduled to occur October 19 and 22, 2020, in Sigourney and Villisca Iowa. Due to the university's COVID-19 policies, Iowa LTAP rescheduled to an on-line format. IUB will reschedule distribution of the remaining public education materials as COVID-19 restrictions allow but will continue to explore creative approaches to educating stakeholders with One Call materials, CGA's best practices, and Iowa's One Call laws.

## Elements 6 (Dispute Resolution)

In application for these funds and under this element, IUB described:

*Funding for this element will include IUB Staff costs associated with reviewing and improving the excavation damage investigation procedures to ensure every case continues to be handled equitably and fairly. This procedure will add to the dispute resolution process and help define the State authority's role as a neutral and impartial fact-finder in the overall process. Upon completion, updates and improvements to the written procedure will be deliverable proof that the state has enhanced its dispute resolution process.*

*Complaints are received through the Attorney General, IUB complaint process, and IUB staff communications and reporting. A summary document will provide information regarding the stakeholder group complaints represented, the number and types of complaints, and other relevant statistics. This information will allow data driven decisions for seeking representation by under-represented groups and targeting other Damage Prevention resources.*

*The budget for this element will be used to cover personnel, fringe benefits, travel, and communication costs for IUB staff associated with reviewing and improving the excavation damage investigation procedures and analyzing the complaints received through the Attorney General, IUB complaint process, and IUB staff communications and reporting.*

*Note: all travel expenses are included in Element 9.*

After hiring an investigator, IUB tasked the investigator with learning Iowa's One Call laws, learning the investigative process for One Call complaints, rewriting the policies and procedures for One Call complaints, and taking ownership of the One Call investigations with assistance and support from the OCIU team. IUB staff has revised the IUB's One Call Complaint Process and anticipates its Board's approval by the end of calendar year 2020.

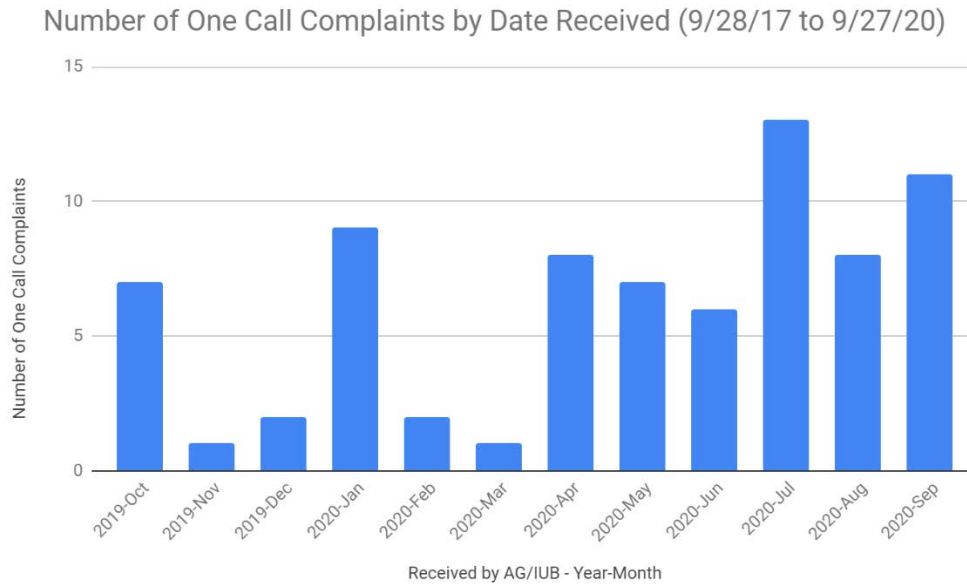
The IUB and IAG continue their Memorandum of Understanding, which has the IUB conducting investigations and providing investigation summaries to IAG and IAG, at its discretion, enforcing Iowa One Call laws.

IUB received Seventy-five new complaints from the public during the performance period from September 28, 2019, until September 27, 2020. In addition to the new complaints, the following actions were completed on pending complaints: 1) Initial investigatory letters sent for 87 complaints; 2) Summary of investigation and complete file submitted to the Attorney General's office for 64 complaints; and 3) Attorney General responses sent to IUB staff for 55 complaints.

IUB staff continues revising the existing process and procedure under the State authority's role as a partner and facilitator to resolve issues. While the IUB received 75 new One Call complaints, IUB staff has worked on a total of 82 damage-related complaints during the performance period. Under the IUB and IAG's Memorandum of Understanding regarding One Call investigations, the IAG's office has been able to focus on litigation while the IUB

performs the initial investigation. This combined effort continues and the IUB updates its process as necessary to include additional concerns of its customers.

**Chart 4 and Table 1** below describe the number of One Call complaints received from September 28, 2019, through September 27, 2020. Most notably and with the exception of January, complaint submissions have leveled out throughout the year rather than arriving in spurts and stops. Further, **Chart 5** describes the monthly number of complaints received by the IUB since September 2017. Most notable in this graph is the increase in complaint submissions within the 2020 calendar year excavation season.



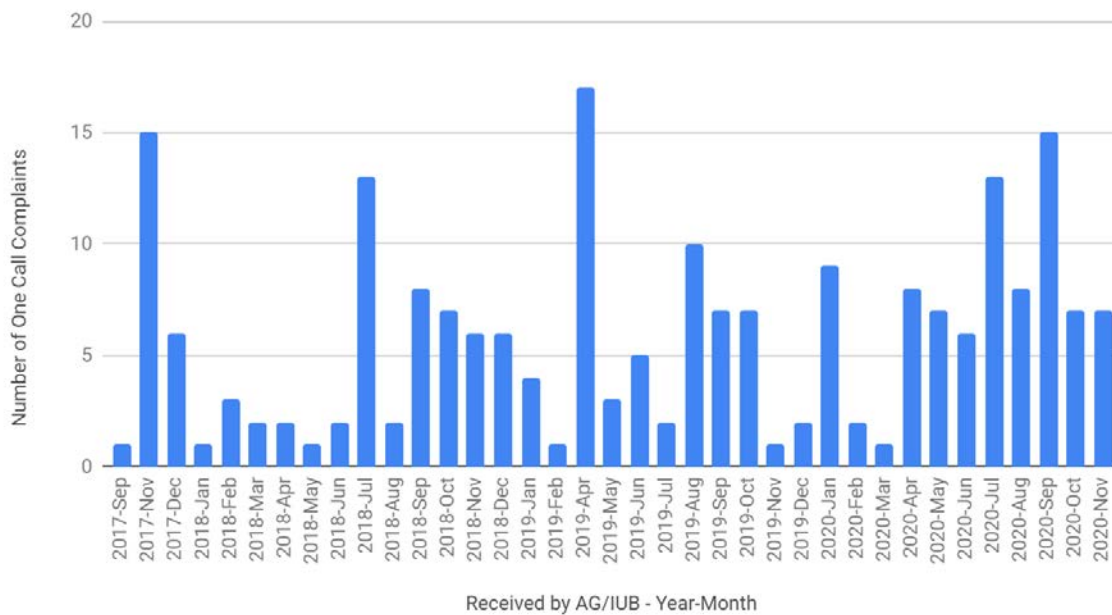
**Chart 4.** Number of One Call Complaints Received during Performance Year 2019.

Received by IUB	COUNTA of C - File #
2019-Oct	7
2019-Nov	1
2019-Dec	2
2020-Jan	9
2020-Feb	2
2020-Mar	1
2020-Apr	8
2020-May	7
2020-Jun	6
2020-Jul	13
2020-Aug	8
2020-Sep	11
<b>Grand Total</b>	<b>75</b>

**Table 1.** Number of One Call Complaints Received during Performance Year 2019.



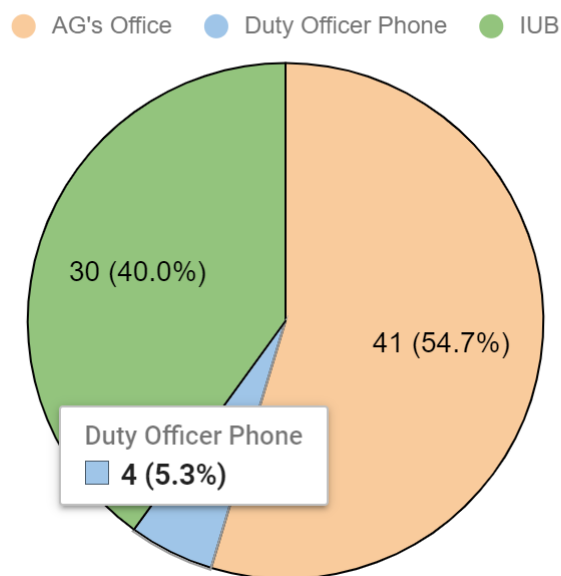
Number of One Call Complaints by Date Received (9/1/17 to 12/3/20)



**Chart 5.** Number of One Call Complaints Received since September 2017.

The IUB and IAG receive One Call complaints from three sources. The IAG submits One Call complaints to the IUB. Otherwise, the IUB receives excavation damage incidents via IUB's Duty Officer phone and written complaints either via U.S. mail or email. **Chart 6 and Table 2** describe the quantities and proportionality of those complaints. The Status of One Call Investigations by date received are shown below in **Chart 6**.

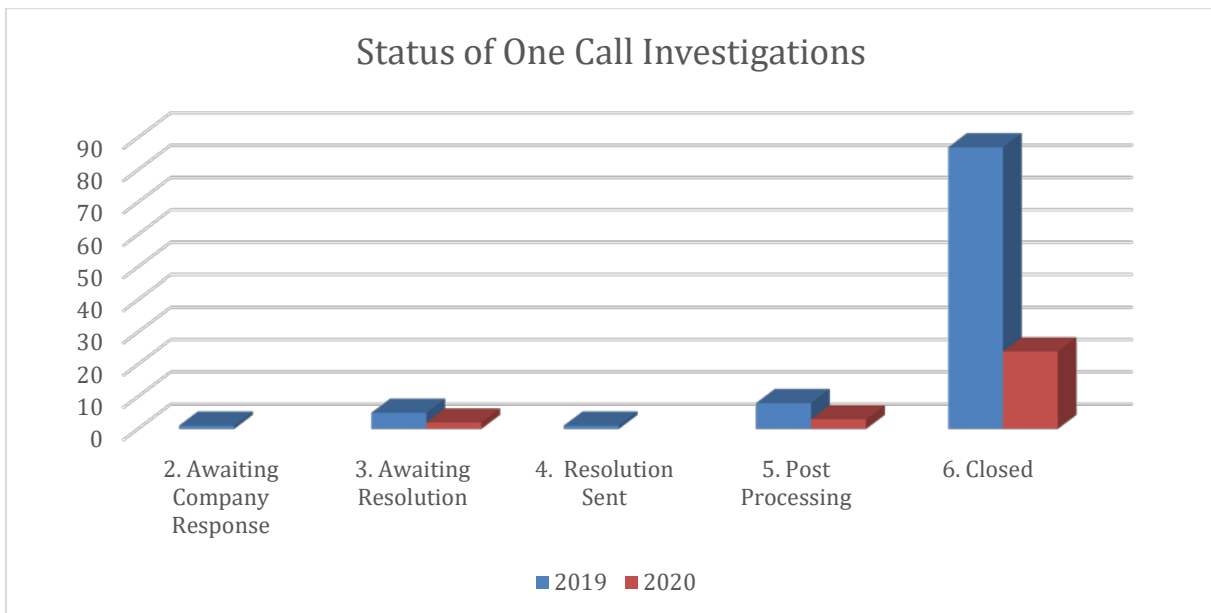
Source of One Call Investigations Received by AG, IUB Duty Officer, or IUB Written Complaints Process (9/28/19 to 9/27/20)



**Chart 6.** Source of One Call Complaints Received during Performance year 2019.

Information Received	COUNT C - File #
AG's Office	41
Duty Officer Phone	4
IUB	30
<b>Grand Total</b>	<b>75</b>

**Table 2.** Source of One Call Complaints Received during Performance year 2019.



**Chart 7.** Status of One Call Investigations by date received for open complaints received in calendar years 2019 and 2020.

### Element 7 (Enforcement)

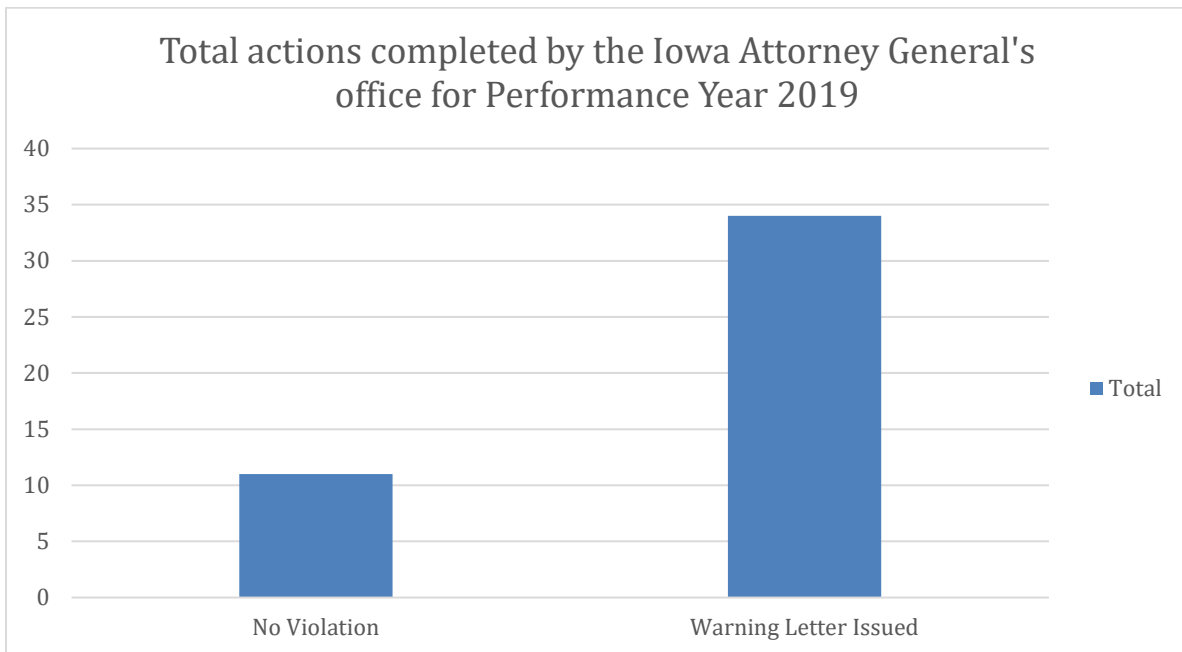
In application for these funds and under this element, IUB described:

*The funding provided by this element will be used to pay for administrative and professional labor related costs associated with facilitating compliance, investigating, reporting and tracking alleged violations of the statute. Specifically, these costs will consist of direct labor related costs associated with facilitating compliance, investigating, reporting and tracking alleged violations of the statute. Specifically, these costs will consist of direct labor, fringe benefits and indirect costs of IUB staff involved with enforcement support activities including investigations, administrative support, communications and analysis.*

*Investigation summaries will be forwarded to the IAG's office, who enforces the Damage Prevention laws.*

*The budget for this element will be used to cover personnel, fringe benefits, travel, and communication costs for the IUB staff to investigate document, and analyze excavation damage complaints.*

Although the IUB received 78 One Call investigations in performance year 2019, IUB staff worked on a total of 82 damage-related complaints during the performance period. Under the IUB's and IAG's Memorandum of Understanding regarding One Call investigations, the IAG's office has been able to focus on litigation, while the IUB performs the initial investigation. For the 2019 performance period, the IAG's office filed five One Call lawsuits on or about April 30, 2020; issued 34 warning letters in 2020; and issued 11 letters of no One Call violations found.<sup>1</sup> **Chart 8** and **Table 3** depict the numbers of said letters.



**Chart 8.** Total Actions completed by the IAG's office for Performance Year 2019 reported to the IUB for No Violation and Warning Letter<sup>1</sup>.

One Call Dispositions	Count
No Violation	11
Warning Letter Issued	34
Grand Total	45

<sup>1</sup> Some of the warning letters were for complaints that predate the start of the performance year.

**Table 3.** Total Actions completed by the IAG's office for Performance Year 2019 reported to the IUB.

### **Element 8 (Technology)**

Iowa did not apply for funds for this element.

### **Element 9 (Damage Prevention Program Review)**

In application for these funds and under this element, IUB described:

*IUB staff will update and enhance the Damage Prevention database, which will include obtaining information from IUB's own initial investigations, as well as mandatory and voluntary reporting and stakeholder's internal measurements. IUB staff will analyze the content in this database, as well as data from DIRT and Virtual DIRT, to evaluate trends and review the effectiveness of the Damage Prevention program.*

*Possible improvements will be identified in this review, with recommendations provided to the IUB for their consideration. Findings will be documented in a deliverable report.*

*In addition, all Damage Prevention activities that don't explicitly fit in a single element (1-8) will be attributed to this element. This element supports the work of all the other elements, including any travel that may be needed to accomplish individual elements.*

During this period, the IUB added a new investigator position to work on complaints and investigations. IUB staff will continue working to improve and enhance the effectiveness of each element of the program, including task management and financial management.

IUB staff revised its complaints spreadsheet (One Call spreadsheet), identified a trend that included more complaints received from operators rather than excavators and determined this to be an ineffective representation of data when compared at the macro level to external datasets, including One Call reports of late and no response locates, and to datasets populated by CGA DIRT reports. In an effort to remedy this disparity, the IUB shifted its focus to ensuring all stakeholders were properly represented beginning with the excavator's stakeholder group.

As it follows, the One Call stakeholder group remains under represented for One Call complaints. However, in IUB's attendance at Iowa One Call events, IUB noted that One Call staff and One Call contractors encouraged excavators to submit One Call complaints either to the IUB or the IAG. Following this report, IUB will advertise to all four of the stakeholders about the responsibilities of the IAG and the IUB regarding Iowa's One Call laws. Additionally, the IUB will begin developing policies and procedures in order to address late and no-response locates by periodically requesting One Call ticket information from IOC. Before implementing this policy, IUB will provide stakeholders notice, and IUB will prepare a news release. Note: under Iowa's One Call laws, locators are the responsibility of the operators and, accordingly, locators in Iowa are addressed as contractors for operators.



While aspirational, when this final phase is complete, Iowa will have made significant strides toward uniform stakeholder support for complaint submissions. Accordingly, IUB believes that respondents will develop an inherent trend following appropriate stakeholder support. Following, staff will begin to apply CGA's datasets to IUB's dataset in order to determine outliers in proportionate root causes assessed in damage reports. At this time, the IUB will be in a better position to evaluate cultural inclinations to Iowa's One Call laws, and develop better plans of approach to develop a complete Damage Prevention Plan encompassing all elements of the program.

During this unprecedented year, IUB has worked with many challenges related to the COVID-19 response. These challenges include identifying whether or how locators would be allowed a temporary reprieve due to locator delays. The IUB, IAG, and Iowa One Call met virtually to discuss this topic, including any potential changes to the existing provisions of Iowa Code 480. Iowa's One Call law states that the obligation of locates falls on the locators, but, if the excavator agrees, the locates may be rescheduled. Iowa One Call put out a news release stating that effect. The IUB put out a second news release shown in **Image 8**, to support Iowa One Call's position and remind contractors and homeowners to call 811 before making storm repairs.



**FOR IMMEDIATE RELEASE:** August 19, 2020

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## **IUB reminds contractors, homeowners to call 811 before making storm repairs that require digging**

*Rush to repair can be unsafe and damage underground utilities*

(Des Moines) – Homeowners and business owners statewide are making property repairs following Iowa's devastating August 10 derecho. The Iowa Utilities Board (IUB) reminds anyone whose restoration efforts involve digging to call 811 or visit the [Iowa One Call website](http://iowa.onecall.com) for information on scheduling a utility locate before beginning a project.

The rush to restore power after last week's widespread storm has led to underground utilities in some areas being damaged. Iowa's [One Call Law](#) (chapter 480 of the Iowa Code) requires the locating and marking process before excavation starts. Requests to locate utilities should be made a minimum of two days (excluding Saturday, Sunday and holidays) before excavation begins.

When Iowa One Call is contacted, notification is sent to operators with underground facilities in the area where the excavation is planned, including natural gas and power utilities, communications companies, and communities. Within 48 hours of being contacted, a utility will mark its underground facilities with color-coded paint marks or flags or notify Iowa One Call it has no lines in the area.

Property owners who contract with a third party to perform repairs should confirm that the contractor has contacted Iowa One Call before allowing work on the property to begin.

Learn more about safety and damage prevention by visiting the IUB's [Staying Safe Around Utilities](#) webpage. Information on enforcement of the One Call Law is available on the [Office of the Attorney General website](#).

###

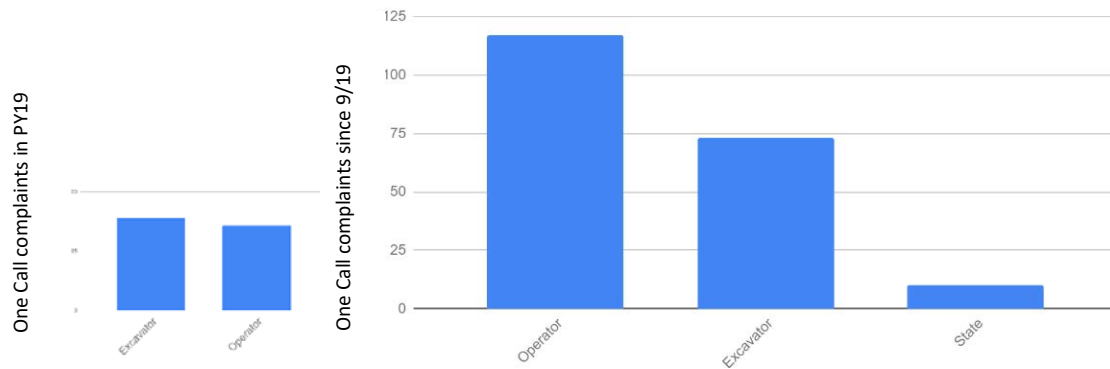
*The Iowa Utilities Board regulates utilities to ensure that reasonably priced, reliable, environmentally responsible, and safe utility services are available to all Iowans.*

Follow the Board on Twitter: [https://twitter.com/iub\\_now](https://twitter.com/iub_now)

**Image 8.** IUB news release for derecho repairs utilizing One Call.

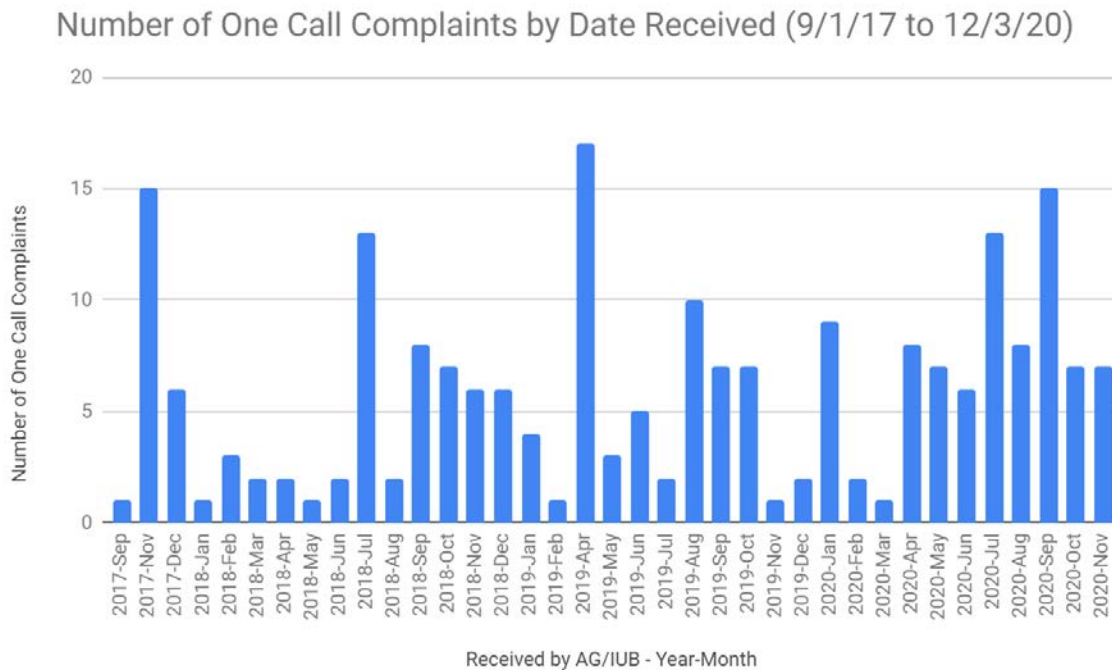
### **Quantifiable Metrics/Measures of Effectiveness (Item 2 under Article IX, Section 9.01 Progress Report: "Where the output of the project can be quantified, a computation of the cost per unit of output.")**

As described earlier and displayed in **Image 9** below, the comparison between this performance year submissions of stakeholder groups indicates that public education activities targeting excavators were effective in balancing out the One Call complaints submissions between excavators and operators.



**Image 9.** Comparison between Recipient Stakeholder groups (excavators on the left and Operators on the right) against 2019 performance year (on the left) compared to the Recipient Stakeholder groups (Operator on the left, Excavator in the middle, and State on the right) describing proportionality between the operator and excavator submissions since November 2017.

As described earlier and displayed in **Chart 10** below, the number of One Call complaints received by month has stabilized during the year. Further, a notable increase of One Call complaints received during Performance Year 2019 indicates the effectiveness of the total Damage Prevention activities.



**Chart 10.** Number of One Call Complaints Received since September 2017.

### Final Financial Status Report

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