

**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX A  
SCOPE, OBJECTIVES, AND METHODOLOGY**

**Scope And Objectives**

In July 2010, the Fiscal Committee of the General Court adopted a recommendation by the joint Legislative Performance Audit and Oversight Committee (LPAOC) to conduct a performance audit of the Public Utilities Commission (PUC). In June 2011, the LPAOC recommended expansion of the audit scope to include the Office of the Consumer Advocate (OCA) and the Energy Efficiency and Sustainable Energy Board (EESE Board), which was also approved by the Fiscal Committee in June 2011. We held entrance conferences with the PUC and the OCA in June 2011 and with the EESE Board in July 2011.

Our audit sought to answer the following questions:

- 1. Did the New Hampshire Public Utilities Commission fulfill its responsibilities in an efficient, effective, and economical manner?**
- 2. How efficient and effective was the Energy Efficiency and Sustainable Energy Board?**
- 3. How efficiently and effectively did the Office of the Consumer Advocate fulfill its responsibilities?**

To address these questions, we focused on the PUC's, OCA's, and EESE Board's responsibilities and activities during State fiscal years (SFY) 2010 and 2011.

**Methodology**

To gain a general understanding of the role of public utility regulatory agencies, the PUC, OCA, and EESE Board, we:

- reviewed other states' regulatory agencies' websites and audits, industry literature regarding utility regulation, and other states' consumer advocacy offices;
- reviewed PUC, OCA, and EESE Board related statutes, Administrative Rules, organization, and policies and procedures; prior audits of the PUC and its programs; PUC, OCA, and EESE Board annual reports; and PUC and OCA websites; and
- interviewed PUC Commissioners, Executive Director, Division Directors, and one former Commissioner; the Consumer Advocate and OCA staff; and the EESE Board Chairman.

To identify strengths, weaknesses, and assess whether the PUC, OCA, and EESE Board were efficiently and effectively fulfilling their responsibilities, we:

- analyzed PUC and OCA revenues and expenditures, supplemental job descriptions, and job classifications;
- reviewed PUC travel expenditures, and contracts for services and outside experts;
- reviewed a sample of PUC personnel files and tested for conformance with State hiring practices, and experience and education requirements of the position; Commission orders and secretarial letters to determine the types of decisions communicated via secretarial letters and orders; petitions filed with the PUC to determine compliance with statutes and administrative rules; and complaints filed with the PUC to determine compliance with complaint resolution processes;
- interviewed PUC Division Directors, Assistant Directors, Utility Analysts, Staff Attorneys, and the General Counsel; OCA staff; and EESE Board members;
- documented the PUC's complaint resolution and petition filing processes and tested compliance with statute, Administrative Rules, and internal policies and procedures;
- surveyed consumers about their interaction with the PUC Consumer Affairs Division, utilities about the efficiency and effectiveness of PUC processes; other states to determine alternative processes; EESE Board members about the responsibilities of the Board, and Residential Ratepayers Advisory Board members to determine efficiency and effectiveness of the OCA;
- obtained and analyzed case management data to determine timeliness of adjudication;
- reviewed complaint files and determined compliance with Administrative Rules and statutes;
- observed PUC hearings;
- reviewed the OCA's system to track dockets and legislation; and
- reviewed external evaluations of EESE Board activities.

#### Survey Of Utilities Operating In New Hampshire

During our fieldwork, we conducted an online survey of utilities operating in New Hampshire. We used judgmental sampling to select 15 utilities: four electric, three gas, four telecommunications, one sewer, one steam, and two water.

We selected all four electric utilities operating in the State as they filed the most petitions before the Commission. We also selected the one steam company operating in the State. The other ten utilities were selected based on the following factors:

1. whether the utility had filed a petition with the PUC during the audit period;
2. the frequency by which each industry filed a petition with the PUC (e.g., telecommunications companies file more petitions with the PUC than the other utilities; therefore, they received higher representation in the survey sample); and

3. the number of New Hampshire consumers the utility served (we selected companies with both small and large consumer base).

Eleven of the 15 utilities completed the survey for a survey response rate of 73 percent.

Based on our sampling technique, we did not make inferences to the entire population of utilities operating in the State. Rather, we attributed the results to the respondents answering the survey questions.

#### Survey Of Other States' Utility Regulators

We conducted an online survey of management personnel in other states' Public Utilities Commissions or their equivalent. We judgmentally selected a sample of ten states based on the following factors:

1. whether the state regulated the water, sewer, steam, gas, electric, and telecommunications industries;
2. similarity to New Hampshire based on population; and
3. similarity to New Hampshire based on geographic location.

Although ten states were selected, we sent the survey to 13 entities, as three states had more than one entity responsible for utility regulation. We received nine responses, representing eight states. Based on our sampling technique, we did not make inferences to the entire population of state public utility regulatory agencies in all 50 states. Rather, we attributed the results to the respondents answering the survey questions.

#### Consumer Complaint Survey

We conducted a mail survey of consumers who filed a complaint with the Consumer Affairs Division during the audit period. We received a consumer contact database containing 9,814 entries between July 1, 2009 and June 30, 2011 from the PUC. To determine the population of consumers who filed actual complaints we removed 6,004 contacts from the population for the following reasons:

- consumers requesting general information, referrals, calling cards, Electric Assistance Program, easement information, installation information, Linked Up/Lifeline information, Northern Pass, Notice/Arrangement information and referral, outage referrals, unknown pole-related questions, propane referrals, Rule/Tariff information, Tenant/Landlord information;
- cases still open as of June 30, 2011;
- reason for contact was listed as "unknown;"
- a contact regarding a ballot issue; and
- contacts without a first or last name, no address, no city (we populated cities for entries with a zip code), duplicate names, and names listed as "No Name" or "Unknown."

Based on our amended population size of 3,810, we determined our sample size to be 157 consumers. To account for returned surveys and consumers who decline to participate in the survey, we oversampled and randomly selected 280 consumers. We allowed consumers two months to complete the survey, sending one follow-up survey as a reminder.

We received 91 completed surveys, a return rate of 30 percent. Based on our return rate, we could not extrapolate the survey results to the entire population of consumers filing complaints. Rather, we attributed the results to the consumers answering the survey questions.

#### Survey Of Energy Efficiency And Sustainable Energy Board

We conducted an online survey of members of the EESE Board. We surveyed all 25 members of the Board. Both voting and non-voting members were given the opportunity to respond. Twenty-two of the 25 members completed the survey for a survey response rate of 88 percent. The survey results were reported as opinions and responses attributed to EESE Board members only.

#### Survey Of Residential Ratepayers Advisory Board

We conducted an online survey of all nine of the current members of the Residential Ratepayers Advisory Board and one past member serving during the audit period. We received nine responses for a 90 percent response rate. The survey results were reported as opinions and responses attributed to Residential Ratepayers Advisory Board members only.

STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION

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APPENDIX B  
PUBLIC UTILITIES COMMISSION RESPONSE TO AUDIT

CHAIRMAN  
Amy L. Ignatius

COMMISSIONERS  
Michael D. Harrington  
Robert R. Scott

EXECUTIVE DIRECTOR  
Debra A. Howland

STATE OF NEW HAMPSHIRE



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March 30, 2012

Richard J. Mahoney, CPA  
Director of Audits  
Legislative Budget Assistant  
107 North Main Street  
State House, Room 102  
Concord, New Hampshire 03301

Dear Mr. Mahoney:

Thank you for the opportunity to comment on the audit by the Office of the Legislative Budget Assistant of the New Hampshire Public Utilities Commission and provide additional information regarding the achievements of the Commission. Through discussions with you and your team of auditors, we have concurred with recommendations that will make the Commission as efficient and effective as it can be. Further recommendations with which we take issue are a matter of interpretation of applicable law and guidance.

We are proud of the diligence and high integrity of Commission employees and our accomplishments. We would like to highlight just a few of our most significant achievements in recent years:

**Safety:** Mapped critical utility infrastructure for use during emergency response actions.

**Electric:** Led transmission cost containment group that will result in more realistic project cost estimates and fewer costs overruns; devised a novel risk sharing mechanism to protect customers in connection with an electric utility's conversion of a coal-fired unit to run on wood.

**Gas:** Ordered a gas utility to refund \$3 million to customers after Commission staff identified overcharges to customers as a result of a change in company's method of measuring the heat content of gas.

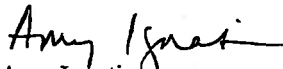
**Telecommunications:** Conserved the 603 area code - in the face of federal pressure to adopt a second area code we enacted strict number conservation protocols; we required the largest telephone provider to expand broadband availability to 95% of its access lines in NH by 2013.

Richard J. Mahoney, CPA  
March 30, 2012  
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**Water:** Resolved the City of Nashua eminent domain proceedings against Pennichuck Corporation; the Commission's initial decision was affirmed by the NH Supreme Court, noting "the thoroughness with which the PUC order discussed the public interest issue."

The Commission celebrated its 100<sup>th</sup> anniversary, having been created by act of the General Court in 1911. We look forward to continued good relationships with the Legislature and our stakeholders in coming years.

Sincerely,

  
Amy Ignatius  
Chairman

**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX C  
SURVEY OF UTILITIES OPERATING IN NEW HAMPSHIRE**

We conducted an online survey of 15 utilities operating within New Hampshire. The utilities were judgmentally selected and PUC Division Directors provided contact information for each utility selected. We surveyed 15 utilities: four electric, three gas, four telecommunications, one sewer, one steam, and two water. Eleven of the 15 utilities completed the survey for a survey response rate of 73 percent of those sent the survey.

The survey was sent to utility representatives on October 17, 2011 and reminder emails were sent the following week. Follow up phone calls were also placed to utility representatives who had not responded.

The following summarizes survey results. Some total percentages may not equal 100 due to rounding.

**Q1. Have you been contacted to resolve consumer complaints through the PUC's Consumer Affairs Division since July 2009?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 67%                         | 8                         |
| No                    | 33%                         | 4                         |
|                       | <i>answered question</i>    | <b>12</b>                 |

**Q2. How satisfied are you with the PUC's process for resolving consumer complaints?**

| <b>Answer Options</b>   | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-------------------------|-----------------------------|---------------------------|
| Very Satisfied          | 29%                         | 2                         |
| Satisfied               | 57%                         | 4                         |
| Only Somewhat Satisfied | 0%                          | 0                         |
| Not Satisfied           | 14%                         | 1                         |
| Very Unsatisfied        | 0%                          | 0                         |
|                         | <i>answered question</i>    | <b>7</b>                  |



**Q3. How does the PUC make you aware of a consumer complaint regarding your company? (Check all that apply)**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|------------------------|---------------------------------|-----------------------|
| Telephone              | 86%                             | 6                     |
| Email                  | 86%                             | 6                     |
| Written Correspondence | 57%                             | 4                     |
| Other (please specify) | 14%                             | 1                     |
|                        | <b><i>answered question</i></b> | <b>7</b>              |

**Q3. COMMENTS.**

| <i>Count</i> | <i>Description</i>              |
|--------------|---------------------------------|
| 1            | All of the above                |
| <b>1</b>     | <b><i>Total Comment</i></b>     |
| <b>1</b>     | <b><i>Total Respondents</i></b> |

**Q4. Does the PUC adequately explain the essence of the consumer's complaints to you?**

| <b>Answer Options</b>                    | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Yes                                      | 100%                            | 7                     |
| No                                       | 0%                              | 0                     |
| Feel free to comment on specific issues: |                                 | 1                     |
|  | <b><i>answered question</i></b> | <b>7</b>              |

**Q4. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | PUC's staff does not have the correct facts and provides advice to consumers based upon the incorrect facts. |
| <b>1</b>     | <b><i>Total Comment</i></b>  |
| <b>1</b>     | <b><i>Total Respondents</i></b>  |

**Q5. Does the PUC adequately update you on the status of consumer complaints?**

| <b>Answer Options</b> | <b>Response Percent</b>         | <b>Response Count</b> |
|-----------------------|---------------------------------|-----------------------|
| Yes                   | 100%                            | 7                     |
| No                    | 0%                              | 0                     |
|                       | <b><i>answered question</i></b> | <b>7</b>              |



**Q6. Has the PUC held a conference with you (utility representatives) and the consumer to mediate complaints?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 57%                      | 4                     |
| No                    | 43%                      | 3                     |
|                       | <i>answered question</i> | 7                     |

**Q7. Have you ever needed to discuss complaints with the Director of the PUC's Consumer Affairs Division?**

| <b>Answer Options</b>                    | <b>Response Percent</b>  | <b>Response Count</b> |
|--|--------------------------|-----------------------|
| Yes                                      | 86%                      | 6                     |
| No                                       | 14%                      | 1                     |
| Feel free to comment on specific issues: |                          | 0                     |
|  | <i>answered question</i> | 7                     |

**Q8. Have any unresolved complaints resulted in hearings before the PUC?**

| <b>Answer Options</b>                    | <b>Response Percent</b>  | <b>Response Count</b> |
|--|--------------------------|-----------------------|
| Yes                                      | 0%                       | 0                     |
| No                                       | 100%                     | 7                     |
| Feel free to comment on specific issues: |                          | 3                     |
|  | <i>answered question</i> | 7                     |

**Q8. COMMENTS.**

| <i>Count</i> | <i>Description</i>       |
|--------------|--------------------------|
| 3            | Not recently.            |
| 3            | <i>Total Comments</i>    |
| 3            | <i>Total Respondents</i> |

**Q9. Do you send a written response (by letter or email):**

| <b>Answer Options</b>         | <b>Response Percent</b>         | <b>Response Count</b> |
|-------------------------------|---------------------------------|-----------------------|
| To the PUC                    | 0%                              | 0                     |
| To the consumer               | 0%                              | 0                     |
| To both the PUC and consumer  | 71%                             | 5                     |
| Do not send written responses | 0%                              | 0                     |
| Other (please specify):       | 29%                             | 2                     |
|                               | <i><b>answered question</b></i> | <b>7</b>              |

**Q9. COMMENTS.**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | Written responses are provided to consumers and the PUC's staff.  |
| 1            | Upon request and if the complaint is warranted. Normally we resolve and send our answer by email or phone call. |
| 2            | <i><b>Total Comments</b></i>  |
| 2            | <i><b>Total Respondents</b></i>   |

**Q10. Is the PUC's complaint resolution process redundant to the process already in place at your utility?**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| Yes   | 29%                             | 2                     |
| No  | 71%                             | 5                     |
| If no, what does the PUC process provide that the utility does not provide? |                                 | 2                     |
|   | <i><b>answered question</b></i> | <b>7</b>              |

**Q10. COMMENTS.**

| <i>Count</i> | <i>Description</i>                                   |
|--------------|--|
| 2            | Provides another opportunity to work with customers. |
| 1            | PUC is helpful.                                      |
| 1            | PUC acts as moderator.                               |
| 4            | <i><b>Total Comments</b></i>                         |
| 2            | <i><b>Total Respondents</b></i>                      |

**Q11. How could the PUC's complaint resolution process be more efficient and effective?**

| <b>Answer Options</b>                             | <b>Response Percent</b>  | <b>Response Count</b> |
|---|--------------------------|-----------------------|
| The process is already effective and efficient    | 43%                      | 3                     |
| The process needs improvement                     | 57%                      | 4                     |
| If the process needs improvement, please explain: |                          | 3                     |
|   | <i>answered question</i> | 7                     |

**Q11. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | Impartiality is necessary but not always achieved.   |
| 1            | Process for vetting staff level disagreements without full Commission hearing could be helpful.                                  |
| 1            | When a written request is sent to the PUC from a consumer, the company should respond first to the PUC rather than the consumer. |
| 3            | <i>Total Comments</i>  |
| 3            | <i>Total Respondents</i>   |

**Q12. Has your utility ever requested a member of the PUC staff be designated a staff advocate?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 18%                      | 2                     |
| No                    | 82%                      | 9                     |
|                       | <i>answered question</i> | 11                    |

**Q13. Was your utility successful in this request?**

| <b>Answer Options</b>  | <b>Response Percent</b>  | <b>Response Count</b> |
|------------------------|--------------------------|-----------------------|
| Yes                    | 100%                     | 2                     |
| No                     | 0%                       | 0                     |
| If No, please explain: |                          | 0                     |
|                        | <i>answered question</i> | 2                     |

**Q14. Generally, are staff advocates designated in all instances in which they should be designated (please consider all cases you are familiar with)?**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| Not applicable (I am not familiar with cases which had or should have had a staff advocate) | 50%                             | 5                     |
| Yes   | 10%                             | 1                     |
| No  | 40%                             | 4                     |
| If No, please explain:  |                                 | 4                     |
|   | <b><i>answered question</i></b> | <b>10</b>             |

**Q14. COMMENTS.**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 3            | Requests for staff advocate designation are controversial/highly charged.  |
| 3            | Staff not always designated as advocates when they should be.  |
| 1            | Steps should be taken to simplify and normalize process so staff members may continue to take advocacy positions, and the Commission may then be advised by staff members who are able to play a more neutral advisory role. |
| 1            | Pre-emptive designation of staff by the Commission in some cases might be helpful.   |
| 8            | <b><i>Total Comments</i></b>   |
| 4            | <b><i>Total Respondents</i></b>  |

**Q15. How would you describe your relationship with the EESE Board?**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| We work closely together to implement energy efficiency and sustainable energy programs.                      | 60%                             | 3                     |
| We work together to implement energy efficiency and sustainable energy programs.                              | 20%                             | 1                     |
| We receive information from the EESE Board regarding their energy efficiency and sustainable energy programs. | 0%                              | 0                     |
| We do not work or communicate with the EESE Board.  | 20%                             | 1                     |
| Other (please specify)  |                                 | 0                     |
|   | <b><i>answered question</i></b> | <b>5</b>              |

**Q16. The programs implemented by the EESE Board are \_\_\_\_\_ in increasing energy efficiency and the use of sustainable energy.**

| <b>Answer Options</b>      | <b>Response Percent</b>         | <b>Response Count</b> |
|----------------------------|---------------------------------|-----------------------|
| Very helpful               | 40%                             | 2                     |
| Somewhat helpful           | 20%                             | 1                     |
| Not very helpful           | 0%                              | 0                     |
| I'm not sure/No opinion    | 40%                             | 2                     |
| Feel free to add comments: |                                 | 2                     |
|                            | <b><i>answered question</i></b> | <b>5</b>              |

**Q16. COMMENTS.**

| <b>Count</b> | <b>Description</b>                          |
|--------------|---|
| 2            | The EESE Board does not implement programs. |
| 2            | The EESE Board acts as a clearinghouse.     |
| 4            | <b><i>Total Comments</i></b>                |
| 2            | <b><i>Total Respondents</i></b>             |

**Q17. EESE Board programs to create energy efficiency and sustainable energy have been implemented:**

| <b>Answer Options</b>      | <b>Response Percent</b>         | <b>Response Count</b> |
|----------------------------|---------------------------------|-----------------------|
| Successfully               | 0%                              | 0                     |
| Somewhat successfully      | 20%                             | 1                     |
| Not very successfully      | 40%                             | 2                     |
| I'm not sure/No opinion    | 40%                             | 2                     |
| Feel free to add comments: |                                 | 2                     |
|                            | <b><i>answered question</i></b> | <b>5</b>              |

**Q17. COMMENTS.**

| <b>Count</b> | <b>Description</b>                      |
|--------------|---|
| 2            | EESE Board is helpful.                  |
| 2            | EESE Board does not implement programs. |
| 4            | <b><i>Total Comments</i></b>            |
| 2            | <b><i>Total Respondents</i></b>         |

**Q18. What could be done to improve the EESE Board's effectiveness?**

| <b>Open-Ended Responses</b>   | <b>Response Count</b> |
|---|-----------------------|
| Duties overlap with OEP and PUC.  | 2                     |
| Need to clarify roles.  | 2                     |
| PUC's role in implementing energy efficiency and sustainable energy programs is not aligned with its primary mission of utility regulation. | 1                     |
| <b>Total Comments</b>   | <b>5</b>              |
| <b>Total Respondents</b>  | <b>2</b>              |

**Q19. Is the quasi-judicial process for resolving utility petitions:**

| <b>Answer Options</b>  | <b>Yes</b>               | <b>No</b> | <b>Response Count</b> |
|--|--------------------------|-----------|-----------------------|
| Efficient? (does not include extra time or wasted effort)      | 5 (45%)                  | 6 (55%)   | 11                    |
| Effective? (accomplishes the intent of the process)            | 8 (73%)                  | 3 (27%)   | 11                    |
| What alternative methods would be more efficient or effective? |                          |           | 4                     |
|  | <b>answered question</b> |           | <b>11</b>             |

**Q19. COMMENTS.**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | No alternate approach.  |
| 1            | PUC has Limited resources.  |
| 1            | More streamlined approach needed.   |
| 1            | Process is too long and should be shortened.  |
| 1            | Process for vetting staff-level disagreements without full Commission hearing could be helpful. |
| <b>5</b>     | <b>Total Comments</b>   |
| <b>4</b>     | <b>Total Respondents</b>  |

**Q20. Is the administrative burden for filing annual reports and submitting petitions to the New Hampshire PUC higher, lower, or about the same as other states in which your utility provides service?**

| <b>Answer Options</b>                                     | <b>Response Percent</b>  | <b>Response Count</b> |
|---|--------------------------|-----------------------|
| Higher  | 25%                      | 3                     |
| Lower   | 0%                       | 0                     |
| Approximately the same                                    | 33%                      | 4                     |
| I don't know  | 8%                       | 1                     |
| Our utility does not provide service in other states      | 33%                      | 4                     |
| Please explain if you feel the burden is higher or lower: |                          | 2                     |
|   | <i>answered question</i> | <b>12</b>             |
|   | <i>skipped question</i>  | <b>1</b>              |

**Q20. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | Administrative and regulatory burdens in NH are approximately the same in Maine and Vermont. |
| 1            | New Hampshire requires numerous reports asking for much of the same information.             |
| 2            | <i>Total Comments</i>  |
| 2            | <i>Total Respondents</i>   |

**Q21. Are there areas in which the administrative burden could be reduced? How so?**

| <b>Open-Ended Responses</b>  | <b>Response Count</b> |
|--|-----------------------|
| Reduce unnecessary reporting requirements.                               | 2                     |
| Periodically review filing requirements to reduce administrative burden. | 1                     |
| Data requests are often duplicative or unnecessary.                      | 1                     |
| Review telephone regulations to reflect highly competitive market.       | 1                     |
| <i>Total Comments</i>  | <b>5</b>              |
| <i>Total Respondents</i>   | <b>5</b>              |



**Q22. Are all of the issues on which the PUC holds hearings best handled through the hearings process, or could the PUC address some issues another way?**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| All of the issues are generally best handled through the hearings process                  | 46%                             | 5                     |
| Unsure/No Opinion  | 27%                             | 3                     |
| Some or all of the issues could be better addressed by alternative means: (Please Explain) | 27%                             | 3                     |
|  | <b><i>answered question</i></b> | <b>11</b>             |

**Q22. COMMENTS.**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 2            | Some issues should be resolved without hearings.   |
| 1            | Not all issues result in a hearing process, as is appropriate. A requirement that all issues go to hearing would be extremely burdensome and costly on all parties.                                      |
| 1            | When controversy or disagreement between the utility and PUC staff arises, the formal hearing process can be lengthy and burdensome. An intermediate process to resolve these disputes might be helpful. |
| 4            | <b><i>Total Comments</i></b>   |
| 3            | <b><i>Total Respondents</i></b>  |

**Q23. Is a hearing necessary when PUC staff, the Office of the Consumer Advocate (OCA), the utility, and any other parties are in agreement about a filing?**

| <b>Answer Options</b> | <b>Response Percent</b>         | <b>Response Count</b> |
|-----------------------|---------------------------------|-----------------------|
| Yes                   | 27%                             | 3                     |
| No                    | 73%                             | 8                     |
| Please explain:       |                                 | 4                     |
|                       | <b><i>answered question</i></b> | <b>11</b>             |

**Q23. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 2            | Administrative review can be used in routine cases.  |
| 1            | In many cases, even when the noted parties are in agreement, the Commission still must hold a hearing under current law.   |
| 1            | Need to take into account the nature of the issue, the significance of the matter in question, the adequacy of the notice to the public, and the adequacy of the record before the Commission. |
| 1            | The Order Nisi process is a good example of a resolution without hearing.  |
| 1            | Although the parties have settled on substantive issues, the OCA will not settle. At best, they have no objection or position but still present minor issues at the hearings.                  |
| 6            | <b>Total Comments</b>  |
| 4            | <b>Total Respondents</b>   |

**Q24. Are there issues on which the PUC generally does not hold a hearing that would be better served by the hearings process? Please explain:**

| <b>Open-Ended Responses</b> | <b>Response Count</b> |
|-----------------------------|-----------------------|
| No                          | 2                     |
| <b>Total Comments</b>       | 2                     |
| <b>Total Respondents</b>    | 2                     |

**Q25. Are the PUC's rate-related cases:**

| <b>Answer Options</b>     | <b>Yes</b>               | <b>No</b> | <b>Response Count</b> |
|---------------------------|--------------------------|-----------|-----------------------|
| hearings held timely?     | 7 (78%)                  | 2 (22%)   | 9                     |
| final orders made timely? | 6 (67%)                  | 3 (33%)   | 9                     |
|                           | <b>answered question</b> |           | 9                     |

**Q26. Are the PUC's non-rate related cases:**

| <b>Answer Options</b>     | <b>Yes</b>               | <b>No</b> | <b>Response Count</b> |
|---------------------------|--------------------------|-----------|-----------------------|
| hearings held timely?     | 4 (36%)                  | 7 (64%)   | 11                    |
| final orders made timely? | 4 (36%)                  | 7 (64%)   | 11                    |
|                           | <b>answered question</b> |           | 11                    |

**Q27. Is the number of hearings per filing required by the New Hampshire PUC higher, lower, or about the same as the number of hearings your utility is required to attend in other states in which your utility provides service?**

| <b>Answer Options</b>                                | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Higher   | 36%                             | 4                     |
| Lower  | 0%                              | 0                     |
| About the same                                       | 9%                              | 1                     |
| Our utility does not provide service in other states | 55%                             | 6                     |
| Please explain                                       |                                 | 2                     |
|  | <b><i>answered question</i></b> | <b>11</b>             |

**Q27. COMMENTS.**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 1            | Administrative and regulatory burdens in NH are approximately the same in Maine and Vermont.   |
| 1            | Issue resolution or information development prior to hearings is more focused in other states, ultimately cutting back on the number and length of hearings compared with New Hampshire. |
| 2            | <b><i>Total Comments</i></b>   |
| 2            | <b><i>Total Respondents</i></b>  |

**Q28. Do you have any suggestions for improving the timeliness of processing petitions and filings at the PUC?**

| <b>Open-Ended Responses</b>  | <b>Response Count</b>           |
|--|---------------------------------|
| Need process to move cases with no statutory deadline along.   | 2                               |
| Temporary rates should be expedited to avoid significant surcharges at the time permanent rates are set. It is difficult to explain to consumers a back-billing that extends upwards of 18 months. | 1                               |
|  | <b><i>answered question</i></b> |
|  | <b>3</b>                        |

**Q29. Do you have any suggestions for lowering costs for utilities or other petitioners seeking regulatory action from the PUC?**

| <b>Open-Ended Responses</b>  | <b>Response Count</b> |
|--|-----------------------|
| Use Hearings Examiners to resolve procedural and minor substantive issues.   | 2                     |
| Reduce regulatory burdens in competitive markets.  | 1                     |
| Regular review of annual filing requirements, reducing or placing a limitation on the discovery process.   | 1                     |
| One area where cases can become more costly and burdensome is when the utility and Commission staff are in disagreement on major or controversial issues, and the ability to work effectively at the staff level becomes impaired.   | 1                     |
| Legal expense is a significant barrier to entry.   | 1                     |
| The OCA is redundant and has provided little or no benefit to rate payers. In fact, it has cost more to have them involved with extra legal overview and consultants. Staff does a thorough job of auditing and advocating for the consumer. If needed, hire more staff to fulfill audit functions to make sure consumers are protected. | 1                     |
| <b>Total Comments</b>  | <b>7</b>              |
| <b>Total Respondents</b>   | <b>5</b>              |

**Q30. In your experience, is the PUC generally successful in fulfilling its mission to balance the interests of utilities and consumers?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 64%                      | 7                     |
| No                    | 0%                       | 0                     |
| Somewhat              | 36%                      | 4                     |
| Please explain:       |                          | 3                     |
|                       | <b>answered question</b> | <b>11</b>             |

**Q30. COMMENTS.**

| <b>Count</b> | <b>Description</b>  |
|--------------|---|
| 1            | PUC staff is focused on protecting the consumer as well as balancing the interests of the utility. The OCA seems to lose sight of its purpose... 'to protect residential customers'. The OCA seems to be in a game of "I GOTCHA" on some petty point rather than viewing the case as a whole. |
| 1            | PUC has a bias toward consumers and doesn't fully recognize financial constraints and financial consequences of some decisions.   |
| 1            | The PUC seems to rely on utility input only and not enough in checking and using other sources.   |
| 3            | <b>Total Comments</b>   |
| 3            | <b>Total Respondents</b>  |

**Q31. In your experience, does the PUC have adequate staff to sufficiently address the cases before it?**

| <b>Answer Options</b>              | <b>Yes</b> | <b>No</b> | <b>I don't know</b>      | <b>Response Count</b> |
|------------------------------------|------------|-----------|--------------------------|-----------------------|
| The number of staff is adequate    | 5 (46%)    | 2 (18%)   | 4 (36%)                  | 11                    |
| The expertise of staff is adequate | 6 (67%)    | 3 (33%)   | 0 (0%)                   | 9                     |
| Feel free to add comments:         |            |           |                          | 3                     |
|                                    |            |           | <i>answered question</i> | 11                    |

**Q31. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 2            | Difficult to attract and retain qualified staff.   |
| 1            | Staff needs additional training on alternative rate issues to understand better ways to address utilities and customers needs. |
| 3            | <i>Total Comments</i>  |
| 3            | <i>Total Respondents</i>   |

**Q32. Are the technical sessions held between the PUC and other parties:**

| <b>Answer Options</b>   | <b>Response Percent</b>  | <b>Response Count</b> |
|---|--------------------------|-----------------------|
| Very valuable   | 45%                      | 5                     |
| Somewhat valuable   | 55%                      | 6                     |
| Not very valuable   | 0%                       | 0                     |
| Not at all valuable   | 0%                       | 0                     |
| If you answered "somewhat valuable" or "not valuable" please explain: |                          | 3                     |
|   | <i>answered question</i> | 11                    |

**Q32. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 2            | Value depends on whether participants are fully prepared.  |
| 1            | They have not seemed technical, more a means of mediation. |
| 3            | <i>Total Comments</i>                                      |
| 3            | <i>Total Respondents</i>                                   |

**Q33. Do Secretarial Letters carry the weight of a Commission Order?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 64%                      | 7                     |
| No                    | 0%                       | 0                     |
| I don't know          | 36%                      | 4                     |
| If no, please explain |                          | 0                     |
|                       | <i>answered question</i> | 11                    |

**Q34. Please finish this sentence: The PUC issues a Secretarial Letter rather than a Commission Order when...**

| <b>Open-Ended Responses</b>                       | <b>Response Count</b>      |
|---|----------------------------|
| ...procedural matters.                            | 4                          |
| ...there are routine matters.                     | 3                          |
| ...the general issue is minor in nature.          | 1                          |
| ...a decision is announced.                       | 1                          |
| ...there is an administrative or other such item. | 1                          |
|   | <i>Total Comments</i> 10   |
|   | <i>Total Respondents</i> 7 |

**Q35. Do you agree with either of the following statements?**

| <b>Answer Options</b>  | <b>TRUE</b>              | <b>FALSE</b> | <b>Response Count</b> |
|--|--------------------------|--------------|-----------------------|
| Sometimes a Secretarial Letter is issued when there should be a Commission Order | 2 (29%)                  | 5 (71%)      | 7                     |
| Sometimes a Commission Order is issued when there should be a Secretarial Letter | 2 (29%)                  | 5 (71%)      | 7                     |
|  | <i>answered question</i> |              | 7                     |

**Q36. How often does your utility work with the Office of the Consumer Advocate?**

| <b>Answer Options</b>                   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Regularly (on most cases)               | 58%                     | 7                     |
| Occasionally (on some cases)            | 8%                      | 1                     |
| Rarely (it has happened, but not often) | 25%                     | 3                     |
| Never                                   | 8%                      | 1                     |
| Feel free to add comments:              |                         | 0                     |
| <b><i>answered question</i></b>         |                         | <b>12</b>             |

**Q37. Do you believe the involvement of the Office of the Consumer Advocate has an effect on:**

| <b>Answer Options</b>           | <b>Always</b> | <b>Some-times</b> | <b>Rarely</b> | <b>Never</b> | <b>Response Count</b> |
|---------------------------------|---------------|-------------------|---------------|--------------|-----------------------|
| Rates                           | 3 (28%)       | 5 (45%)           | 2 (18%)       | 1 (9%)       | 11                    |
| Safety                          | 1 (9%)        | 3 (28%)           | 4 (35%)       | 3 (28%)      | 11                    |
| Reliability                     | 1 (10%)       | 6 (60%)           | 1 (10%)       | 2 (20%)      | 10                    |
| Feel free to add comments:      |               |                   |               |              | 2                     |
| <b><i>answered question</i></b> |               |                   |               |              | <b>11</b>             |

**Q37. COMMENTS.**

| <b>Count</b> | <b>Description</b>  |
|--------------|---|
| 1            | Minor concessions given to the OCA to attempt settlement.   |
| 1            | Consumer Advocate does not represent the best interests of its clients. Rather, the Consumer Advocate has an environmental bias that affects her decisions. |
| 2            | <b><i>Total Comments</i></b>  |
| 2            | <b><i>Total Respondents</i></b>   |



**Q38. Does the involvement of the OCA affect the way your utility approaches a filing?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Always                | 18%                      | 2                     |
| Sometimes             | 46%                      | 5                     |
| Rarely                | 18%                      | 2                     |
| Never                 | 18%                      | 2                     |
| Please Explain:       |                          | 2                     |
|                       | <i>answered question</i> | <b>11</b>             |
|                       | <i>skipped question</i>  | <b>2</b>              |

**Q38. COMMENTS.**

| <i>Count</i> | <i>Description</i>              |
|--------------|---------------------------------|
| 2            | OCA is an important stakeholder |
| 2            | <i>Total Comments</i>           |
| 2            | <i>Total Respondents</i>        |

**Q39. Please provide any other comments you may have regarding the Public Utilities Commission, Office of the Consumer Advocate, or the EESE Board.**

| <b>Open-Ended Responses</b>  | <b>Response Count</b> |
|--|-----------------------|
| Invest in better teleconferencing capabilities.  | 1                     |
| Communications with the PUC are limited but they are not negative.                               | 1                     |
| PUC does a fair and adequate job balancing the interests of the utilities and consumers.         | 1                     |
| OCA should balance interests of both utilities and consumers and show more support to utilities. | 1                     |
| <i>Total Comments</i>  | <b>4</b>              |
| <i>Total Respondents</i>   | <b>3</b>              |

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**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX D  
SURVEY OF OTHER STATES' UTILITY REGULATORS**

We conducted an online survey of management personnel in other states' Public Utilities Commissions or their equivalent. We selected ten states based on similarity to New Hampshire in terms of population, utilities regulated, and geographic location. Although ten states were selected, we sent the survey to 13 entities, as three states had more than one entity responsible for utility regulation. We received nine responses, representing eight states. Survey results follow.

**Q1. Comments. How many utility-related staff are in your agency?**

| <i>Count</i> | <i>Description</i>       |
|--------------|--------------------------|
| 3            | 1-20                     |
| 4            | 21-40                    |
| 1            | 41-60                    |
| 1            | 81-100                   |
| <b>9</b>     | <b>Total Comments</b>    |
| <b>9</b>     | <b>Total Respondents</b> |

**Q2. Comments. How many staff could be described as utility analysts?**

| <i>Count</i> | <i>Description</i>       |
|--------------|--------------------------|
| 2            | 1-10                     |
| 6            | 11-20                    |
| 0            | 21-30                    |
| 1            | 31-40                    |
| <b>9</b>     | <b>Total Comments</b>    |
| <b>9</b>     | <b>Total Respondents</b> |

**Q3. Which of the following are educational requirements for your agency's LOWEST level of utility analyst staff?**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| Bachelor's degree in any field  | 11%                             | 1                     |
| Bachelor's degree with major study in the field of business, mathematics, economics, or engineering | 78%                             | 7                     |
| Master's degree in any field  | 0%                              | 0                     |
| Master's degree with major study in the field of business, mathematics, or engineering              | 0%                              | 0                     |
| Licensed professional engineer  | 0%                              | 0                     |
| Other (please specify)  | 11%                             | 1                     |
|   | <b><i>answered question</i></b> | <b>9</b>              |

**Q3. COMMENTS. Which of the following are educational requirements for your agency's LOWEST level of utility analyst staff?****Count    Description**

1      No requirements, but most have at least a four year degree.

1      **Total Comments**

1      **Total Respondents**

**Q4. COMMENTS. How many years experience in each of the following areas are required for your agency's LOWEST level of utility analyst staff?****Day-to-day operations of public utilities****Count    Description**

4      None

2      1-3 Years

1      Experience is not required, but is preferred

7      **Total Comments**

7      **Total Respondents**

**Public utilities management****Count    Description**

5      None

1      Experience is not required, but is preferred

6      **Total Comments**

6      **Total Respondents**

**Public utilities regulation or analysis****Count    Description**

3      None

3      1 -3 years

1      Experience is not required, but is preferred

7      **Total Comments**

7      **Total Respondents**

**Rate analysis****Count    Description**

3      None

2      1-3 year

1      Experience is not required, but is preferred

6      **Total Comments**

6      **Total Respondents**

**Q5. Which of the following are educational requirements for your agency's HIGHEST level of utility analyst staff?**

| <b>Answer Options</b>   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Bachelor's degree in any field  | 0%                      | 0                     |
| Bachelor's degree with major study in the field of business, mathematics, economics, or engineering | 13%                     | 1                     |
| Master's degree in any field  | 0%                      | 0                     |
| Master's degree with major study in the field of business, mathematics, economics, or engineering   | 25%                     | 2                     |
| Licensed professional engineer  | 25%                     | 2                     |
| Other (please specify)  | 38%                     | 3                     |
| <b>answered question</b>  |                         | <b>8</b>              |

**Q5. COMMENTS. Which of the following are educational requirements for your agency's HIGHEST level of utility analyst staff?**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 1            | Combination of master's degree in major field and Licensed Professional Engineer (LPE) depending upon division |
| 1            | Bachelor's degree in economics or accounting (CPA preferred), depending upon the bureau                        |
| 2            | <b>Total Comments</b>  |
| 2            | <b>Total Respondents</b>   |

**Q6. COMMENTS. How many years experience in each of the following areas are required for your agency's HIGHEST level of utility analyst staff?**

**Day-to-day operations of public utilities**

| <b>Count</b> | <b>Description</b>       |
|--------------|--------------------------|
| 3            | None                     |
| 1            | 1-3 years                |
| 1            | 4-6 years                |
| 1            | 7+ years                 |
| 1            | It varies                |
| 7            | <b>Total Comments</b>    |
| 6            | <b>Total Respondents</b> |

**Public utilities management**

| <b>Count</b> | <b>Description</b>       |
|--------------|--------------------------|
| 4            | None                     |
| 1            | Not required             |
| 5            | <b>Total Comments</b>    |
| 5            | <b>Total Respondents</b> |

**Public utilities regulation or analysis**

| <i>Count</i> | <i>Description</i>       |
|--------------|--------------------------|
| 1            | None                     |
| 2            | 1-3 years                |
| 2            | 4-6 years                |
| 1            | 7+ years                 |
| <b>6</b>     | <b>Total Comments</b>    |
| <b>6</b>     | <b>Total Respondents</b> |

**Rate analysis**

| <i>Count</i> | <i>Description</i>                        |
|--------------|---|
| 1            | None                                      |
| 3            | 1-3 years                                 |
| 0            | 4-6 years                                 |
| 1            | 7+ years                                  |
| 1            | Experience not required, but is preferred |
| <b>6</b>     | <b>Total Comments</b>                     |
| <b>6</b>     | <b>Total Respondents</b>                  |

**Q7. Which of the following educational and professional backgrounds are common among utility analysts within your agency? (Please select all that apply)**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|------------------------|---------------------------------|-----------------------|
| Economics              | 78%                             | 7                     |
| Accounting             | 89%                             | 8                     |
| Finance                | 56%                             | 5                     |
| Engineering            | 56%                             | 5                     |
| Other (please specify) | 33%                             | 3                     |
|                        | <i><b>answered question</b></i> | <b>9</b>              |

**Q7. COMMENTS. Which of the following educational and professional backgrounds are common among utility analysts within your agency? (Please select all that apply)**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | All of the options provided are common or divided among the team. |
| 2            | Business administration.  |
| <b>3</b>     | <b>Total Comments</b>   |
| <b>3</b>     | <b>Total Respondents</b>  |

**Q8. Do utility analysts make recommendations to commissioners as to how to resolve cases, or do they perform only factual analysis? (Please select all that apply)**

| <b>Answer Options</b>  | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| Analysts make recommendations to the commission as to how to resolve cases | 89%                     | 8                     |
| Analysts perform only factual analysis                                     | 22%                     | 2                     |
| Other (please specify)   | 22%                     | 2                     |
| <b><i>answered question</i></b>  |                         | <b>9</b>              |

**Q8. COMMENTS. Do utility analysts make recommendations to commissioners as to how to resolve cases, or do they perform only factual analysis? (Please select all that apply)**

| <b>Count</b> | <b>Description</b>  |
|--------------|---|
| 1            | The department has an advocacy function; analysts recommend a position but the Board (which is not attached to the department) decides. |
| 1            | Analysts act as witnesses in cases before the commission.   |
| 2            | <b>Total Comments</b>   |
| 2            | <b>Total Respondents</b>  |

**Q9. Are all of your agency's commissioners full-time?**

| <b>Answer Options</b>  | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| Yes  | 78%                     | 7                     |
| No, all are part-time  | 11%                     | 1                     |
| No, some are part-time and some are full-time (please specify how many are part-time and how many are full-time) | 11%                     | 1                     |
| <b><i>answered question</i></b>  |                         | <b>9</b>              |

**Q9 COMMENTS. Are all of your agency's commissioners full-time?**

| <b>Count</b> | <b>Description</b>  |
|--------------|---|
| 1            | N/A; The Department has one commissioner, but the Board (1 FT, 2 PT members) that ultimately makes the decisions is separate from the Department. |
| 1            | <b>Total Comments</b>   |
| 1            | <b>Total Respondents</b>  |



**Q10. Where is your state's utility consumer advocate located?**

| <b>Answer Options</b>   | <b>Response Percent</b>  | <b>Response Count</b> |
|---|--------------------------|-----------------------|
| Within the agency   | 0%                       | 0                     |
| Administratively attached to the agency   | 11%                      | 1                     |
| Within the state attorney general's office  | 22%                      | 2                     |
| Our state does not have a utility consumer advocate within state government, but a non-governmental entity fulfills this role | 0%                       | 0                     |
| Our state does not have a utility consumer advocate, either within or outside of state government                             | 11%                      | 1                     |
| Other (please specify)  | 56%                      | 5                     |
|   | <i>answered question</i> | <b>9</b>              |
|   | <i>skipped question</i>  | <b>0</b>              |

**Q10. COMMENTS. Where is your state's utility consumer advocate located?**

| <b>Count</b> | <b>Description</b>                               |
|--------------|--|
| 4            | Another agency within state government.          |
| 1            | Agency responding <i>is</i> the advocacy agency. |
| <b>5</b>     | <b>Total Comments</b>                            |
| <b>5</b>     | <b>Total Respondents</b>                         |

**Q11. Does your agency have an audit division that works on utility-related issues?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 22%                      | 2                     |
| No                    | 78%                      | 7                     |
|                       | <i>answered question</i> | <b>9</b>              |

**Q12. Does your audit division (please select all that apply):**

| <b>Answer Options</b>  | <b>Yes, the<br/>audit<br/>division<br/>does this</b> | <b>No, but<br/>we<br/>contract<br/>with<br/>third<br/>party<br/>entities<br/>for this<br/>work</b> | <b>No, but<br/>other<br/>personnel<br/>within the<br/>agency do<br/>this</b> | <b>No, we do not do<br/>this, or this<br/>function is<br/>performed by<br/>another state<br/>agency</b> | <b>Response<br/>Count</b> |
|--|--|--|--|---|---------------------------|
| Review utilities' financial information?   | 2<br>(100%)  | 0  | 0  | 0   | 2                         |
| Review agency functions (i.e., rate approvals, safety reviews, or renewable energy programs administered by other agency personnel)?   | 1<br>(50%)   | 0  | 0  | 0   | 1                         |
| Review utility programs (i.e., renewable energy purchase requirements or rebate programs administered by the utilities)?   | 2<br>(100%)  | 0  | 0  | 0   | 2                         |
| Review agency organization (i.e. review appropriate placement of staff within the organization, adequacy of staff performance, or overlapping duties with other state agencies)? | 0  | 0  | 1<br>(50%)   | 1<br>(50%)  | 2                         |
| <i>answered question</i>   |  |  |  |   | 2                         |

**Q13. Are personnel in your agency responsible for resolving utility-related complaints from RESIDENTIAL consumers?**

| <b>Answer Options</b>    | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|--------------------------|-----------------------------|---------------------------|
| Yes                      | 100%                        | 8                         |
| No                       | 0%                          | 0                         |
| <i>answered question</i> |                             | 8                         |

**Q14. Are personnel in your agency responsible for resolving utility-related complaints from COMMERCIAL consumers?**

| <b>Answer Options</b>    | <b>Response Percent</b> | <b>Response Count</b> |
|--------------------------|-------------------------|-----------------------|
| Yes                      | 100%                    | 8                     |
| No                       | 0%                      | 0                     |
| <i>answered question</i> |                         | <b>8</b>              |

**Q15. Are personnel in your agency responsible for inspecting the safety of utility infrastructure?**

| <b>Answer Options</b>   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Yes   | 50%                     | 4                     |
| No, and there is no other state agency responsible for this function                        | 25%                     | 2                     |
| No, but another state agency is responsible for this function (please specify which agency) | 25%                     | 2                     |
| <i>answered question</i>  |                         | <b>8</b>              |

**Q15. COMMENTS. Are personnel in your agency responsible for inspecting the safety of utility infrastructure?**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | The agency shares responsibility with another agency within state government. |
| <b>1</b>     | <b>Total Comments</b>   |
| <b>1</b>     | <b>Total Respondents</b>  |

**Q16. COMMENTS. How many utility-related personnel are devoted to safety-related functions?**

| <i>Count</i> | <i>Description</i>       |
|--------------|--------------------------|
| 3            | 1-5                      |
| 0            | 6-10                     |
| 1            | 11-15                    |
| <b>4</b>     | <b>Total Comments</b>    |
| <b>4</b>     | <b>Total Respondents</b> |

**Q17. COMMENTS. What utility-related safety functions do these personnel perform?**

| <i>Count</i> | <i>Description</i>           |
|--------------|------------------------------|
| 4            | Natural gas pipeline safety. |
| 1            | Water system inspections.    |
| 1            | Railroad safety inspections. |
| <b>6</b>     | <b>Total Comments</b>        |
| <b>4</b>     | <b>Total Respondents</b>     |

**Q18. Does your agency utilize contracted consultants in addition to regular staff for utility-related issues?**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Yes, the agency regularly utilizes the work of contracted consultants    | 63%                             | 5                     |
| Yes, the agency infrequently utilizes the work of contracted consultants | 38%                             | 3                     |
| No, the agency does not utilize the work of contracted consultants       | 0%                              | 0                     |
|  | <b><i>answered question</i></b> | <b>8</b>              |

**Q19. The agency typically contracts out for: (Please select all that apply)**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Specialized, infrequently used skills                                  | 100%                            | 8                     |
| Frequently used skills for which we cannot attract qualified employees | 38%                             | 3                     |
| High demand skills used to supplement permanent staff                  | 25%                             | 2                     |
| Other (please specify)   | 13%                             | 1                     |
|  | <b><i>answered question</i></b> | <b>8</b>              |

**Q19. COMMENTS. The agency typically contracts out for: (Please select all that apply)**

| <b>Count</b> | <b>Description</b>       |
|--------------|--------------------------|
| 1            | Depreciation experts.    |
| 1            | <b>Total Comments</b>    |
| 1            | <b>Total Respondents</b> |

**20. Does your agency utilize a quasi-judicial process in which utility-related cases are resolved via formal hearings attended by attorneys representing parties to the case?**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|------------------------|---------------------------------|-----------------------|
| Yes                    | 100%                            | 8                     |
| No                     | 0%                              | 0                     |
| Other (please specify) | 0%                              | 0                     |
|                        | <b><i>answered question</i></b> | <b>8</b>              |

**Q21. Does your agency hold public hearings for utility-related cases?**

| <b>Answer Options</b>   | <b>Response Percent</b>  | <b>Response Count</b> |
|---|--------------------------|-----------------------|
| Yes, the agency holds public hearings                             | 100%                     | 8                     |
| No, the agency holds hearings but they are not open to the public | 0%                       | 0                     |
| No, the agency does not hold hearings                             | 0%                       | 0                     |
|   | <i>answered question</i> | <b>8</b>              |

**Q22. In what instances does your agency hold hearings for utility-related cases? (Please select all that apply)**

| <b>Answer Options</b>  | <b>Response Percent</b>  | <b>Response Count</b> |
|--|--------------------------|-----------------------|
| Utility requests for rate increases                              | 86%                      | 6                     |
| Investigations into utility safety-related issues                | 86%                      | 6                     |
| Consumer-initiated investigations into utility rates             | 43%                      | 3                     |
| Consumer-initiated investigations into utility service quality   | 57%                      | 4                     |
| Commission-initiated investigations into utility rates           | 86 %                     | 6                     |
| Commission-initiated investigations into utility service quality | 71%                      | 5                     |
| Utility mergers/acquisitions/transfers of ownership              | 86%                      | 6                     |
| Adoption of agency administrative rules                          | 71%                      | 5                     |
| Design and adoption of energy efficiency programs                | 43%                      | 3                     |
| Other (please specify)   | 57%                      | 4                     |
|  | <i>answered question</i> | <b>7</b>              |

**Q22. COMMENTS. In what instances does your agency hold hearings for utility-related cases? (Please select all that apply)**

| <i>Count</i> | <i>Description</i>                            |
|--------------|---|
| 2            | The agency holds hearings on all topics.      |
| 1            | When there is public interest in a topic.     |
| 1            | After customers have lodged complaints.       |
| 1            | Resource planning, power purchase agreements. |
| <b>5</b>     | <b>Total Comments</b>                         |
| <b>4</b>     | <b>Total Respondents</b>                      |

**Q23. Does your agency hold expedited hearings to address safety or other time-sensitive utility-related issues?**

| <b>Answer Options</b>  | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| No, we do not hold expedited hearings  | 29%                     | 2                     |
| Yes, we do hold expedited hearings   | 71%                     | 5                     |
| If yes, please explain in what instances these expedited hearings are used and how they differ from your agency's ordinary hearings process. |                         | 3 (Yes)<br>1 (No)     |
| <i>answered question</i>   |                         | 7                     |

**Q23. COMMENTS. Does your agency hold expedited hearings to address safety or other time-sensitive utility-related issues?**

| <b>Count</b> | <b>Description</b>  |
|--------------|---|
| 2            | Held when action is time-sensitive.   |
| 1            | Granted on a case-by-case basis.  |
| 1            | The ability to hold expedited hearings exists, but they are rarely held in practice (this was a "no" respondent). |
| 4            | <b>Total Comments</b>   |
| 4            | <b>Total Respondents</b>  |

**Q24. Does your agency have a condensed hearings process for utility-related issues for which the full hearings process is deemed unnecessary?**

| <b>Answer Options</b>  | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| No, we do not make use of a condensed hearings process   | 43%                     | 3                     |
| Yes, we do make use of a condensed hearings process  | 57%                     | 4                     |
| If yes, please explain in what instances these condensed hearings are used and how they differ from your agency's ordinary hearings process. |                         | 4                     |
| <i>answered question</i>   |                         | 7                     |

**Q24. COMMENTS. Does your agency have a condensed hearings process for utility-related issues for which the full hearings process is deemed unnecessary?**

**Count Description**

|          |  |
|----------|--|
| 1        | Agency utilizes both formal and informal processes.  |
| 1        | Agency may issue an order without a hearing if no party intervenes or requests a hearing.                  |
| 1        | Pro forma telecommunications transactions and uncontested interconnection agreements.                      |
| 1        | Notice rules can be waived; the agency has "limited size and scope" projects with streamlined proceedings. |
| <b>4</b> | <b>Total Comments</b>  |
| <b>4</b> | <b>Total Respondents</b>   |

**Q25. Does your agency hold hearings for utility-related cases even when all parties are in agreement as to the proposed outcome (for example, if the parties to a case have signed a consent agreement and presented it to the Commission for approval)?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 100%                     | 7                     |
| No                    | 0%                       | 0                     |
|                       | <i>answered question</i> | <b>7</b>              |

**Q26. Do agency staff offer testimony in hearings for utility-related cases?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 57%                      | 4                     |
| No                    | 43%                      | 3                     |
|                       | <i>answered question</i> | <b>7</b>              |

**Q27. Are certified stenographers or court reporters used in hearings for utility-related cases?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 100%                     | 7                     |
| No                    | 0%                       | 0                     |
|                       | <i>answered question</i> | <b>7</b>              |

**Q28. How is the record taken in the absence of a stenographer or court reporter?**

No responses.



**Q29. Does your agency use hearings examiners to address utility-related issues?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 57%                         | 4                         |
| No                    | 43%                         | 3                         |
|                       | <i>answered question</i>    | <b>7</b>                  |

**Q30. What percentage of utility-related cases are heard by a hearings examiner?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| One to 25 percent     | 25%                         | 1                         |
| 26 to 50 percent      | 0%                          | 0                         |
| 51 to 75 percent      | 25%                         | 1                         |
| 76 to 100 percent     | 50%                         | 2                         |
|                       | <i>answered question</i>    | <b>4</b>                  |

**Q31. COMMENTS. In what instances are hearings examiners used to address utility-related issues?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | All cases.   |
| 1            | All cases except expedited proceedings.  |
| 1            | Applications to provide utility services; tariff rates; financial practices' jurisdictional issues; and consumer complaints. |
| <b>3</b>     | <b>Total Comments</b>  |
| <b>3</b>     | <b>Total Respondents</b>   |

**Q32. Does your agency use administrative law judges to address utility-related issues?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 29%                         | 2                         |
| No                    | 71%                         | 5                         |
|                       | <i>answered question</i>    | <b>7</b>                  |

**Q33. What percentage of utility-related cases are heard by an administrative law judge?**

| <b>Answer Options</b> | <b>Response Percent</b>         | <b>Response Count</b> |
|-----------------------|---------------------------------|-----------------------|
| One to 25 percent     | 0%                              | 0                     |
| 26 to 50 percent      | 50%                             | 1                     |
| 51 to 75 percent      | 50%                             | 1                     |
| 76 to 100 percent     | 0%                              | 0                     |
|                       | <b><i>answered question</i></b> | <b>2</b>              |

**Q34. COMMENTS. In what instances are administrative law judges used to address utility-related issues? (Open-ended comments)**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 1            | Water cases and minor telecommunications, gas, and electric cases. |
| 1            | <b>Total Comments</b>  |
| 1            | <b>Total Respondents</b>   |

**Q35. Do agency staff hold formal sessions with utility staff to resolve technical issues pertaining to cases? (Please select all that apply)**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| Yes, and they are held in-person with multiple parties (utility representatives, agency staff, utility consumer advocate, etc) present. | 71%                             | 5                     |
| Yes, and they are held via teleconferencing with the various parties.   | 43%                             | 3                     |
| Yes, and they are held via videoconferencing with the various parties.  | 14%                             | 1                     |
| No, the agency does not hold formal sessions to resolve case-related technical issues.  | 29%                             | 2                     |
| Other (please specify)  | 14%                             | 1                     |
|   | <b><i>answered question</i></b> | <b>7</b>              |

**Q35. COMMENTS. Do agency staff hold formal sessions with utility staff to resolve technical issues pertaining to cases? (Please select all that apply)**

**Count Description**

1 As an independent party, Commission staff communicates with other parties to resolve issues prior to bringing them to the Commission.

1 **Total Comments**

1 **Total Respondents**

**Q36. Are deliberations in which adjudicators decide on utility-related cases held in public?**

| <b>Answer Options</b>  | <b>Response Percent</b>  | <b>Response Count</b> |
|------------------------|--------------------------|-----------------------|
| Yes                    | 57%                      | 4                     |
| No                     | 43%                      | 3                     |
| Other (please specify) | 0%                       | 0                     |
|                        | <i>answered question</i> | 7                     |

**Q37. Are transcripts taken at utility-related deliberation sessions?**

| <b>Answer Options</b>  | <b>Response Percent</b>  | <b>Response Count</b> |
|------------------------|--------------------------|-----------------------|
| Yes                    | 29%                      | 2                     |
| No                     | 57%                      | 4                     |
| Other (please specify) | 14%                      | 1                     |
|                        | <i>answered question</i> | 7                     |

**Q37. Are transcripts taken at utility-related deliberation sessions?**

**Count Description**

1 Minutes are taken at open meetings.

1 **Total Comments**

1 **Total Respondents**

**Q38. Are utility-related deliberations subject to your state's right-to-know law?**

| <b>Answer Options</b> | <b>Response Percent</b>  | <b>Response Count</b> |
|-----------------------|--------------------------|-----------------------|
| Yes                   | 57%                      | 4                     |
| No                    | 43%                      | 3                     |
|                       | <i>answered question</i> | 7                     |

**Q39. Who may participate in utility-related deliberations? (Please select all that apply)**

| <b>Answer Options</b>   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Adjudicators  | 100%                    | 6                     |
| Agency staff  | 50%                     | 3                     |
| Parties to the case (please specify which parties, e.g. utility representatives, consumer advocate, etc.) | 17%                     | 1                     |

*answered question* 6

**Q39. COMMENTS. Who may participate in utility-related deliberations? (Please select all that apply)**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | Commission staff, consumer advocate, utility representatives, and all parties to a docket. |
| 1            | <b>Total Comments</b>  |
| 1            | <b>Total Respondents</b>   |

**Q40. Do guidelines exist establishing timeframes in which orders must be issued in utility-related RATE cases? (Please select all that apply)**

| <b>Answer Options</b>  | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| Yes, timeframes are established by statute                               | 71%                     | 5                     |
| Yes, timeframes are established by administrative rule                   | 14%                     | 1                     |
| Yes, timeframes are established by agency policies or procedures manuals | 0%                      | 0                     |
| No, there is only unwritten policy                                       | 0%                      | 0                     |
| No, there is no deadline to decide cases                                 | 29%                     | 2                     |

*answered question* 7

**Q41. Do guidelines exist establishing timeframes in which orders must be issued in utility-related NON-RATE cases? (Please select all that apply)**

| <b>Answer Options</b>   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Yes, timeframes are established by statute.                               | 71%                     | 5                     |
| Yes, timeframes are established by administrative rule.                   | 29%                     | 2                     |
| Yes, timeframes are established by agency policies or procedures manuals. | 0%                      | 0                     |
| No, there is only unwritten policy.                                       | 14%                     | 1                     |
| No, there is no deadline to decide cases.                                 | 43%                     | 3                     |

*answered question* 7

**Q42. Does your agency issue anything other than formal orders to convey utility-related Commission decisions? (For example, would the Commission issue a formal opinion in the form of a letter or other correspondence with a party to the case?)**

| <b>Answer Options</b>  | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| No, only formal orders are used to convey Commission decisions.                                  | 67%                     | 4                     |
| Yes, means other than formal orders may be used to convey Commission decisions (please specify). | 33%                     | 2                     |
| <i>answered question</i>   |                         | <b>6</b>              |

**Q42. COMMENTS. Does your agency issue anything other than formal orders to convey utility-related Commission decisions? (For example, would the Commission issue a formal opinion in the form of a letter or other correspondence with a party to the case?)**

| <i>Count</i> | <i>Description</i>                                |
|--------------|---|
| 1            | Time extensions and other administrative matters  |
| 1            | Guidance subject to later commission review/order |
| <b>2</b>     | <b>Total Comments</b>                             |
| <b>2</b>     | <b>Total Respondents</b>                          |

**Q43. In what instances does the Commission use these methods to convey decisions?**

No responses.

**Q44. Are there WRITTEN conflict of interest policies regarding adjudicators who have a financial interest in a utility-related case? (Please select all that apply)**

| <b>Answer Options</b>                               | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Yes, in statute                                     | 100%                    | 6                     |
| Yes, in administrative rule                         | 33%                     | 2                     |
| Yes, in agency policies or procedures manuals       | 67%                     | 4                     |
| No, there is unwritten policy                       | 0%                      | 0                     |
| No, there is no policy regarding financial interest | 0%                      | 0                     |
| <i>answered question</i>                            |                         | <b>6</b>              |

**Q45. Do these policies include recusing adjudicators from utility-related cases?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b>     | <b>Response<br/>Count</b> |
|-----------------------|---------------------------------|---------------------------|
| Yes                   | 83%                             | 5                         |
| No                    | 17%                             | 1                         |
|                       | <b><i>answered question</i></b> | <b>6</b>                  |

**Q46. Are there WRITTEN conflict of interest policies regarding staff who have a financial interest in a utility-related case? (Please select all that apply)**

| <b>Answer Options</b>                               | <b>Response<br/>Percent</b>     | <b>Response<br/>Count</b> |
|---|---------------------------------|---------------------------|
| Yes, in statute                                     | 83%                             | 5                         |
| Yes, in administrative rule                         | 17%                             | 1                         |
| Yes, in agency policies or procedures manuals       | 67%                             | 4                         |
| No, there is only unwritten policy                  | 0%                              | 0                         |
| No, there is no policy regarding financial interest | 0%                              | 0                         |
|   | <b><i>answered question</i></b> | <b>6</b>                  |

**Q47. Do these policies include recusing staff from utility-related cases?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b>     | <b>Response<br/>Count</b> |
|-----------------------|---------------------------------|---------------------------|
| Yes                   | 67%                             | 4                         |
| No                    | 33%                             | 2                         |
|                       | <b><i>answered question</i></b> | <b>6</b>                  |

**Q48. Are there WRITTEN policies regarding staff who have a real or perceived bias in a utility-related case (for example, staff who strongly favor a particular outcome, sometimes referred to as "staff advocates")? (Please select all that apply)**

| <b>Answer Options</b>   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Yes, in statute   | 20%                     | 1                     |
| Yes, in administrative rule   | 0%                      | 0                     |
| Yes, in agency policies or procedures manuals   | 20%                     | 1                     |
| No, there is unwritten policy   | 20%                     | 1                     |
| No, staff are expected to formulate opinions on cases, therefore there is no need for a policy regarding staff bias | 80%                     | 4                     |
| No, staff only present facts; therefore, there is no need for a policy regarding staff bias                         | 0%                      | 0                     |
| Other (please specify)  | 0%                      | 0                     |
| <i>answered question</i>  |                         | <b>5</b>              |

**Q49. Who can request a staff member be designated as a staff advocate in utility-related cases? (Please select all that apply)**

| <b>Answer Options</b>                                | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| Adjudicators   | 0%                      | 0                     |
| Staff potentially subject to designation             | 0%                      | 0                     |
| Other staff  | 0%                      | 0                     |
| Managers of staff potentially subject to designation | 100%                    | 1                     |
| Utilities  | 0%                      | 0                     |
| The consumer advocate                                | 0%                      | 0                     |
| Other (please specify)                               | 0%                      | 0                     |
| <i>answered question</i>                             |                         | <b>1</b>              |

**Q50. If staff generally testifies before the Commission, are staff advocates allowed to testify before the Commission regarding utility-related cases in which they have been designated an advocate?**

| <b>Answer Options</b>                                    | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Yes  | 50%                             | 1                     |
| No   | 0%                              | 0                     |
| N/A; staff do not testify in cases before the Commission | 50%                             | 1                     |
| Other (please specify)                                   | 0%                              | 0                     |
|  | <b><i>answered question</i></b> | <b>2</b>              |

**Q51. If staff generally takes part in Commission deliberations, do staff advocates take part in deliberations regarding utility-related cases in which they have been designated an advocate?**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| Yes   | 0%                              | 0                     |
| No  | 100%                            | 1                     |
| N/A; staff does not generally take part in Commission deliberations | 0%                              | 0                     |
| Other (please specify)  | 0%                              | 0                     |
|   | <b><i>answered question</i></b> | <b>1</b>              |

**Q52. Does your agency allow utilities to recover expenses associated with cases heard by the Commission?**

| <b>Answer Options</b>  | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Utilities can recover expenses for all cases heard by the Commission       | 50%                             | 3                     |
| Utilities can recover expenses only for RATE cases heard by the Commission | 0%                              | 0                     |
| Utilities cannot recover expenses for cases heard by the Commission        | 0%                              | 0                     |
| Other (please specify)   | 50%                             | 3                     |
|  | <b><i>answered question</i></b> | <b>6</b>              |



**Q52. COMMENTS. Does your agency allow utilities to recover expenses associated with cases heard by the Commission?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | Utilities may recover all case expenses unless specifically disallowed.      |
| 1            | Utilities may recover all case expenses if deemed prudent by the Commission. |
| 1            | Litigation expenses are normalized and recovered in base rates.              |
| <b>3</b>     | <b>Total Comments</b>  |
| <b>3</b>     | <b>Total Respondents</b>   |

**Q53. Does your state have written standards for determining recoverable utility-related case expenses? (Please select all that apply)**

| <b>Answer Options</b>                            | <b>Response Percent</b> | <b>Response Count</b> |
|--|-------------------------|-----------------------|
| Yes, statute establishes standards               | 40%                     | 2                     |
| Yes, administrative rule establishes standards   | 60%                     | 3                     |
| Yes, prior Commission orders establish standards | 80%                     | 4                     |
| No, there are no written standards               | 20%                     | 1                     |
| Other (please specify)                           | 0%                      | 0                     |
| <i>answered question</i>                         |                         | <b>5</b>              |

**Q54. COMMENTS. Generally, what types of expenses are utilities allowed to recover?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 2            | All prudent/reasonable and necessary expenses.   |
| 1            | Expenses related to the provision of regulated utility service.                              |
| 1            | Operations and maintenance, commodity, plant, efficiency programs, and conservation efforts. |
| 1            | Cost of capital for rate base.   |
| <b>5</b>     | <b>Total Comments</b>  |
| <b>4</b>     | <b>Total Respondents</b>   |

**Q55. What strategies does your agency use to contain utilities' recoverable costs? (Please select all that apply)**

| <b>Answer Options</b>   | <b>Response Percent</b>         | <b>Response Count</b> |
|---|---------------------------------|-----------------------|
| Utilities are required to use competitive bidding when procuring services     | 50%                             | 3                     |
| Utilities are not allowed to exceed maximum allowable cost thresholds         | 0%                              | 0                     |
| Limitations are placed on the types of expenses utilities may recover         | 50%                             | 3                     |
| The agency does not employ strategies to contain utilities' recoverable costs | 33%                             | 2                     |
| Other (please specify)  | 33%                             | 2                     |
|   | <b><i>answered question</i></b> | <b>6</b>              |

**Q55. COMMENTS. What strategies does your agency use to contain utilities' recoverable costs?**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 1            | Agency audits utilities' expenses and makes decisions on a case-by-case basis. |
| 1            | Rules are in place regarding recovery of affiliate transactions.               |
| 1            | Commission can disallow costs it deems imprudent.                              |
| <b>3</b>     | <b>Total Comments</b>  |
| <b>3</b>     | <b>Total Respondents</b>   |

**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX E  
CONSUMER COMPLAINT SURVEY RESULTS**

We conducted a mail survey of 280 consumers who filed complaints with the Consumer Affairs Division during the audit period. We received 91 completed surveys, a response rate of 30 percent. Survey results follow.

**Q1: How did you become aware of the PUC's role in resolving consumer complaints against utility companies? (Mark all that apply.) (n=90)**

| <b>Answer Options</b>   | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|---|-----------------------------|---------------------------|
| Utility Company   | 19%                         | 17                        |
| PUC Website   | 20%                         | 18                        |
| Other Government Agencies   | 11%                         | 10                        |
| Elected Official  | 6%                          | 5                         |
| Phone Directory   | 16%                         | 14                        |
| Other (included other businesses, former utility employees, friend/neighbor, common knowledge, fuel assistance, television and radio news, state employee, attorney, Governor's office, newspapers, or library) | 41%                         | 37                        |

**Q2: How did you contact the PUC concerning your complaint? (n=90)**

| <b>Answer Options</b>   | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|---|-----------------------------|---------------------------|
| Mailed written complaint  | 14%                         | 13                        |
| Telephoned the PUC  | 68%                         | 61                        |
| Emailed complaint   | 17%                         | 15                        |
| Other (Responses included visit to the PUC, website, Attorney General, and cannot remember) | 7%                          | 6                         |

**Q3: From the time you submitted your complaint, how long was it before the PUC contacted you about it? (n=86)**

| <b>Answer Options</b>       | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------------|-----------------------------|---------------------------|
| Within 5 days               | 61%                         | 52                        |
| Between 5 and 10 days       | 19%                         | 16                        |
| Between 10 days and 2 weeks | 9%                          | 8                         |
| More than 2 weeks           | 12%                         | 10                        |

**Q4: Did the PUC adequately explain the complaint resolution process to you? (n=88)**

| Answer Options | Response Percent | Response Count |
|----------------|------------------|----------------|
| Yes            | 72%              | 63             |
| No             | 28%              | 25             |

**Q5: Did the PUC keep you updated on the status of your complaint? (n=87)**

| Answer Options | Response Percent | Response Count |
|----------------|------------------|----------------|
| Yes            | 66%              | 57             |
| No             | 35%              | 30             |

**Q6: Did the PUC hold a conference between you and the utility to mediate the complaint? (n=88)**

| Answer Options | Response Percent | Response Count |
|----------------|------------------|----------------|
| Yes            | 2%               | 2              |
| No             | 98%              | 86             |

**Q7: Did the PUC provide you with the utility company's response to your complaint? (n=87)**

| Answer Options | Response Percent | Response Count |
|----------------|------------------|----------------|
| Yes            | 58%              | 50             |
| No             | 43%              | 37             |

**Q8: How did the PUC make you aware of the resolution of your complaint? (n=82)**

| Answer Options        | Response Percent | Response Count |
|-----------------------|------------------|----------------|
| Written communication | 15%              | 12             |
| Telephone call        | 50%              | 41             |
| Email                 | 12%              | 10             |
| Was not made aware    | 28%              | 23             |

**Q9: How satisfied were you with the PUC's processing of your complaint? (n=89)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Very satisfied        | 40%                     | 36                    |
| Satisfied             | 23%                     | 20                    |
| Somewhat satisfied    | 2%                      | 2                     |
| Somewhat unsatisfied  | 7%                      | 6                     |
| Unsatisfied           | 14%                     | 12                    |
| Very unsatisfied      | 15%                     | 13                    |

**Q10: Did the PUC address all of your concerns? (n=85)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Yes                   | 67%                     | 57                    |
| No                    | 33%                     | 28                    |

**Q11: If the complaint was not resolved in your favor, did the PUC help you understand why? (n=46)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Yes                   | 44%                     | 20                    |
| No                    | 57%                     | 26                    |

**Q12: If the complaint was not resolved in your favor, did you request a hearing before the PUC? (n=51)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Yes                   | 6%                      | 3                     |
| No                    | 94%                     | 48                    |

**Q13: Do you feel your complaint was handled fairly by the PUC? (n=82)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Yes                   | 73%                     | 60                    |
| No                    | 27%                     | 22                    |

**Q14: Would you contact the PUC again with another utility problem? (n=84)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Yes                   | 85%                     | 71                    |
| No                    | 16%                     | 13                    |

**Q15: Could the PUC have done more to help you resolve your complaint? (n=84)**

| <b>Answer Options</b> | <b>Response Percent</b> | <b>Response Count</b> |
|-----------------------|-------------------------|-----------------------|
| Yes                   | 57%                     | 48                    |
| No                    | 43%                     | 36                    |

**Q15. COMMENTS.**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 9            | PUC does not listen to complainant/did not respond/did not explain (communication).                           |
| 5            | PUC was helpful/thank you.  |
| 3            | PUC representative was rude/not helpful (improve communication).  |
| 3            | PUC needs to better monitor utility communications with customers/more pressure on utility to respond timely. |
| 3            | Did not feel issue was resolved.  |
| 2            | PUC needs better communication with customers.  |
| 1            | PUC immediately sided with the utility.   |

**Please provide any additional comments here:**

**ADDITIONAL COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 4            | Did not feel their issue was resolved by the PUC / Not satisfied with outcome.   |
| 4            | PUC does not listen to complainant/did not respond/did not explain/response took too long.   |
| 16           | PUC was helpful/thank you.   |
| 3            | PUC needs to better monitor utility communications with/service to customers/more pressure on utility to respond timely/needs more "power" to investigate. |
| 1            | PUC sided with the utility.  |

**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX F  
ENERGY EFFICIENCY AND SUSTAINABLE ENERGY BOARD SURVEY RESULTS**

We conducted an online survey of the entire Energy Efficiency and Sustainable Energy Board (EESE) established in RSA 125-0:5-a. An electronic link to the survey was sent to each of the 25 EESE Board members on October 24, 2011. Both voting and non-voting members were given the opportunity to respond. Twenty-two of the 25 members completed the survey for a survey response rate of 88 percent.

The following summarizes the survey results.

**Q1. How long have you served on the EESE Board?**

| <b>Answer Options</b>           | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|---------------------------------|-----------------------------|---------------------------|
| Less than six months            | 4%                          | 1                         |
| Between six months and one year | 4%                          | 1                         |
| Between one and two years       | 14%                         | 3                         |
| Over two years                  | 14%                         | 3                         |
| Since its inception             | 64%                         | 14                        |
|                                 | <i>answered question</i>    | <b>22</b>                 |

**Q2. Are you a voting or non-voting member?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Voting                | 68%                         | 15                        |
| Non-voting            | 32%                         | 7                         |
|                       | <i>answered question</i>    | <b>22</b>                 |

**Q3. On average, approximately how many hours of your time do you spend on EESE Board activities each month?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Between 1 and 5 hours | 32%                         | 7                         |
| 6 to 10 hours         | 45%                         | 10                        |
| 11 to 15 hours        | 23%                         | 5                         |
| 16 to 20 hours        | 0%                          | 0                         |
| More than 20          | 0%                          | 0                         |
|                       | <i>answered question</i>    | <b>22</b>                 |

**Q4. Do you feel you understand the mission and goals of the EESE Board?**

| <b>Answer Options</b> | <b>Response Percent</b>         | <b>Response Count</b> |
|-----------------------|---------------------------------|-----------------------|
| Yes                   | 100%                            | 22                    |
| No                    | 0%                              | 0                     |
|                       | <b><i>answered question</i></b> | <b>22</b>             |

**Q4. COMMENTS. Other/Comments:**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 1            | Yes, but I do not think leadership has done a good job of executing those goals. |
| 1            | <b><i>Total Comments</i></b>   |
| 1            | <b><i>Total Respondents</i></b>  |

**Q5. Please briefly describe what you perceive to be the mission and goals of the EESE Board.**

| <b>Open-Ended Responses</b>  | <b>Response Count</b> |
|--|-----------------------|
| Promote and coordinate energy efficiency, demand response, and sustainable energy programs / RSA 125-O:5-a.                            | 16                    |
| Provide EE and SE information to the public.   | 2                     |
| Foster collaboration among stakeholders.   | 2                     |
| Provide guidance to the PUC for application of Regional Greenhouse Gas Initiative (RGGI) and Renewable Portfolio Standard (RPS) funds. | 2                     |
| Prior to EESE Board creation, no single entity charged with integrating all of these efforts.  | 1                     |
| Develop plans to achieve goals.  | 1                     |
| Concerned Board is moving towards implementation rather than promoting or coordinating function.                                       | 1                     |
| Build consensus for most effective use of funds.   | 1                     |
| Same goals as the NH Energy and Climate Collaborative.   | 1                     |
| <b><i>Total Comments</i></b>   | <b>27</b>             |
| <b><i>Total Respondents</i></b>  | <b>20</b>             |



**Q6. On a scale of one to ten, how effective is the EESE Board at accomplishing this mission?**

| <b>Answer Options</b>           | <b>Response Percent</b> | <b>Response Count</b> |
|---------------------------------|-------------------------|-----------------------|
| 1 (not at all accomplished)     | 4%                      | 1                     |
| 2                               | 0%                      | 0                     |
| 3                               | 10%                     | 2                     |
| 4                               | 10%                     | 2                     |
| 5                               | 10%                     | 2                     |
| 6                               | 33%                     | 7                     |
| 7                               | 23%                     | 5                     |
| 8                               | 10%                     | 2                     |
| 9                               | 0%                      | 0                     |
| 10 (mission accomplished)       | 0%                      | 0                     |
| <b><i>answered question</i></b> |                         | <b>21</b>             |

**Q7. How strongly do you agree with the following statements? The EESE Board has:**

| <b>Answer Options</b>  | <b>I don't agree</b> | <b>Agree somewhat</b> | <b>Strongly agree</b> | <b>I'm not sure</b> | <b>Response Count</b> |
|--|----------------------|-----------------------|-----------------------|---------------------|-----------------------|
| Enough authority to accomplish its activities                  | 7<br>(33%)           | 6<br>(29%)            | 7<br>(33%)            | 1<br>(5%)           | 21                    |
| Enough resources to accomplish its activities                  | 11<br>(50%)          | 4<br>(18%)            | 6<br>(27%)            | 1<br>(5%)           | 22                    |
| A clear mandate on its required activities                     | 1<br>(5%)            | 10<br>(48%)           | 10<br>(48%)           | 0<br>(0%)           | 21                    |
| Voting members from appropriate entities                       | 3<br>(14%)           | 8<br>(36%)            | 11<br>(50%)           | 0<br>(0%)           | 22                    |
| Non-voting members from appropriate entities                   | 2<br>(9%)            | 7<br>(32%)            | 13<br>(59%)           | 0<br>(0%)           | 22                    |
| If you said "I don't agree" or "somewhat agree" please explain |                      |                       |                       |                     | 16                    |
| <b><i>answered question</i></b>                                |                      |                       |                       |                     | <b>22</b>             |

**Q7. COMMENTS. If you said "I don't agree" or "somewhat agree" please explain:**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 10           | No resources / No staff / No budget.  |
| 7            | Board has no authority / Board is advisory only.                                |
| 2            | Board is missing non-regulated fuel representatives.                            |
| 2            | Need stronger business representation / Less state agency representation.       |
| 2            | Business members need voting rights.  |
| 2            | Mission too broad.  |
| 2            | Do not understand why some members have voting rights and others do not.        |
| 1            | One board addressing many interrelated issues is sound.                         |
| 1            | Need qualified and independent staff.   |
| 1            | Lacks leadership.   |
| 1            | Energy policy needs to be clarified.  |
| 1            | Voting used only to approve minutes.  |
| 1            | Legislature is not supportive of the Board's efforts.                           |
| 1            | Despite no authority or funding, Board has been highly effective in many areas. |
| 1            | Attempts to reach consensus derails action.                                     |
| 1            | Education is a huge factor.   |
| <b>36</b>    | <b>Total Comments</b>   |
| <b>16</b>    | <b>Total Respondents</b>  |

**Q8. How strong are the EESE Board's efforts to:**

| <b>Answer Options</b>                   | <b>Not strong<br/>(we have<br/>made no<br/>effort)</b> | <b>Somewhat<br/>strong (we<br/>made some<br/>efforts)</b> | <b>Strong<br/>(we made<br/>numerous<br/>efforts)</b> | <b>Very strong<br/>(we have<br/>done this<br/>thoroughly)</b> | <b>I'm not<br/>sure</b> | <b>Response<br/>Count</b> |
|---|--|---|--|---|-------------------------|---------------------------|
| Promote energy efficiency programs?     | 1<br>(5%)  | 5<br>(23%)  | 12<br>(55%)  | 3<br>(14%)  | 1<br>(5%)               | 22                        |
| Coordinate energy efficiency programs?  | 6<br>(29%)   | 3<br>(14%)  | 9<br>(43%)   | 3<br>(14%)  | 0<br>(0%)               | 21                        |
| Promote sustainable energy programs?    | 2<br>(10%)   | 9<br>(43%)  | 6<br>(29%)   | 3<br>(14%)  | 1<br>(5%)               | 21                        |
| Coordinate sustainable energy programs? | 6<br>(29%)   | 6<br>(29%)  | 6<br>(29%)   | 3<br>(14%)  | 0<br>(0%)               | 21                        |
| Promote demand response programs?       | 9<br>(43%)   | 5<br>(24%)  | 3<br>(14%)   | 1<br>(5%)   | 3<br>(14%)              | 21                        |
| Coordinate demand response programs?    | 11<br>(52%)  | 5<br>(24%)  | 2<br>(10%)   | 1<br>(5%)   | 2<br>(10%)              | 21                        |
|   |  |   |  | <b>answered question</b>                                      |                         | <b>22</b>                 |

**Q9. On a scale of one to five, how thoroughly has the EESE Board:**

| <b>Answer Options</b>  | <b>I don't know</b> | <b>1 (hardly at all)</b> | <b>2</b>   | <b>3</b>   | <b>4</b>    | <b>5 (very thoroughly)</b> | <b>Response Count</b> |
|--|---------------------|--------------------------|------------|------------|-------------|----------------------------|-----------------------|
| Reviewed available energy efficiency (EE) programs?  | 0<br>(0%)           | 2<br>(10%)               | 0<br>(0%)  | 4<br>(19%) | 10<br>(48%) | 5<br>(24%)                 | 21                    |
| Reviewed available sustainable energy (SE) programs?   | 0<br>(0%)           | 2<br>(10%)               | 3<br>(14%) | 5<br>(24%) | 6<br>(29%)  | 5<br>(24%)                 | 21                    |
| Developed a plan to achieve the State's EE potential for all fuels?  | 3<br>(14%)          | 7<br>(33%)               | 7<br>(33%) | 3<br>(14%) | 1<br>(5%)   | 0<br>(0%)                  | 21                    |
| Developed a plan for economic and environmental sustainability of the State's energy system?   | 4<br>(19%)          | 7<br>(33%)               | 7<br>(33%) | 2<br>(10%) | 0<br>(0%)   | 1<br>(5%)                  | 21                    |
| Provided recommendations at least annually to the PUC on the administration and allocation of the Greenhouse Gas Emissions Reduction Fund and Renewable Energy Fund? | 0<br>(0%)           | 1<br>(5%)                | 2<br>(10%) | 1<br>(5%)  | 9<br>(43%)  | 8<br>(38%)                 | 21                    |
| Explored opportunities to coordinate programs targeted at saving more than one fuel resource?  | 1<br>(5%)           | 4<br>(19%)               | 5<br>(24%) | 7<br>(33%) | 3<br>(14%)  | 1<br>(5%)                  | 21                    |
| Developed tools to enhance outreach and education programs on EE and SE?   | 1<br>(5%)           | 1<br>(5%)                | 7<br>(33%) | 7<br>(33%) | 4<br>(19%)  | 1<br>(5%)                  | 21                    |
| Expanded upon the State government's efficiency programs?  | 3<br>(14%)          | 6<br>(29%)               | 5<br>(24%) | 4<br>(19%) | 3<br>(14%)  | 0<br>(0%)                  | 21                    |
| Encouraged municipalities to increase investments in EE and SE?  | 1<br>(5%)           | 1<br>(5%)                | 4<br>(20%) | 6<br>(30%) | 7<br>(35%)  | 1<br>(5%)                  | 20                    |

| Answer Options   | I don't know | 1 (hardly at all) | 2          | 3          | 4          | 5 (very thoroughly)      | Response Count |
|--|--------------|-------------------|------------|------------|------------|--------------------------|----------------|
| Worked to explore ways to ensure low-income customers have access to EE improvements and SE? | 2<br>(10%)   | 2<br>(10%)        | 4<br>(19%) | 9<br>(43%) | 3<br>(14%) | 1<br>(5%)                | 21             |
| Investigated potential sources of funding for EE and SE development?                         | 1<br>(5%)    | 1<br>(5%)         | 4<br>(19%) | 8<br>(38%) | 4<br>(19%) | 3<br>(14%)               | 21             |
| Coordinated sources of funding for EE and SE development?                                    | 2<br>(10%)   | 4<br>(20%)        | 7<br>(35%) | 2<br>(10%) | 5<br>(25%) | 0<br>(0%)                | 20             |
| Please feel free to comment:   |              |                   |            |            |            |                          | 8              |
|  |              |                   |            |            |            | <i>answered question</i> | 21             |

**Q9. COMMENTS. Please feel free to comment:**

| Count | Description  |
|-------|--|
| 3     | Board has no authority / Board is advisory only.   |
| 2     | Limited authority and resources limits achievements.   |
| 2     | Despite no authority or funding, Board has been highly effective in many areas.                |
| 1     | Many objectives met by release of SB 323 report.   |
| 1     | No resources / No staff / No budget.   |
| 1     | Legislature is not supportive of the Board's efforts.  |
| 1     | Need qualified and independent staff.  |
| 1     | SE Division is the only one within PUC that is helpful.  |
| 1     | PUC energy staff hostile to Board's Mission.   |
| 1     | Board has no financial control over other programs.  |
| 1     | Need more coordination between SE and ED programs.   |
| 1     | Initiatives depend on volunteers.  |
| 1     | Board is good venue for discussion and coordination.   |
| 1     | Board members work hard.   |
| 1     | Leadership takes direction from non-governmental organizations rather than business community. |
| 1     | Board mission too broad/Board unfocused.   |
| 1     | Some Board members out of touch with energy industry or are inexperienced                      |
| 21    | <b>Total Comments</b>  |
| 8     | <b>Total Respondents</b>   |

**Q10. Are the tasks listed above appropriate for the EESE Board?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 52%                         | 11                        |
| No                    | 48%                         | 10                        |
| Please Explain:       |                             | 12                        |
|                       | <i>answered question</i>    | <b>21</b>                 |

**Q10. COMMENTS. Please explain:**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 6            | With neither resources nor authority more cannot be done / Would need additional resources to do more.   |
| 3            | Board mission too broad/Board unfocused.   |
| 2            | Board advisory and limited in what it can do.  |
| 1            | State has no energy policy just a bunch of fragmented.   |
| 1            | Commission in best position to coordinate programs.  |
| 1            | Utilities have conflict of interest when it comes to conservation, efficiency, and renewable energy.   |
| 1            | If not the EESE Board, then who? The Board needs to focus in more on the growth of the energy services industry. This is how and where atmospheric carbon gets avoided, and these are where the green jobs can be found. |
| <b>15</b>    | <b><i>Total Comments</i></b>   |
| <b>12</b>    | <b><i>Total Respondents</i></b>  |

**Q11. Are there other tasks which should be required but are not currently part of the EESE Board statute?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 16%                         | 3                         |
| No                    | 84%                         | 16                        |
| Please Explain:       |                             | 6                         |
|                       | <i>answered question</i>    | <b>19</b>                 |

**Q11. COMMENTS. Please explain:**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 2            | Board should deal with all fuels / Should be fuel blind.  |
| 1            | Board mission is already too broad and it is difficult to see how the Board could take on additional tasks. |
| 1            | Not unless the Board is given resources and authority.  |
| 1            | Authority to review Core program.   |
| 1            | Board should have access to resources to get expert assistance.   |
| 1            | Should focus on current tasks first.  |
| 1            | Need to expand tools to reduce dependence on oil.   |
| 1            | Encourage policies that will grow the EE industry.  |
| 9            | <b>Total Comments</b>   |
| 6            | <b>Total Respondents</b>  |

**Q12. Which of the following are barriers to achieving energy efficiency (EE) and sustainable energy (SE) in New Hampshire?**

| <b>Answer Options</b>  | <b>I don't know</b> | <b>Major Barrier</b> | <b>Minor Barrier</b> | <b>Not A Barrier</b> | <b>Response Count</b> |
|--|---------------------|----------------------|----------------------|----------------------|-----------------------|
| Lack of demand for EE or SE products and services                  | 1<br>(5%)           | 6<br>(30%)           | 9<br>(45%)           | 4<br>(20%)           | 20                    |
| Lack of supply of EE or SE products and services                   | 0<br>(0%)           | 3<br>(14%)           | 13<br>(62%)          | 5<br>(24%)           | 21                    |
| Lack of buy-in from the Legislature                                | 0<br>(0%)           | 14<br>(70%)          | 4<br>(20%)           | 2<br>(10%)           | 20                    |
| Lack of buy-in from the PUC  | 0<br>(0%)           | 4<br>(20%)           | 6<br>(30%)           | 10<br>(50%)          | 20                    |
| Lack of buy-in from the Governor                                   | 1<br>(5%)           | 2<br>(10%)           | 4<br>(19%)           | 14<br>(67%)          | 21                    |
| Lack of buy-in from the general public                             | 2<br>(10%)          | 8<br>(38%)           | 5<br>(24%)           | 6<br>(29%)           | 21                    |
| Lack of coordination of financial incentives                       | 0<br>(0%)           | 8<br>(40%)           | 11<br>(55%)          | 1<br>(5%)            | 20                    |
| Unclear regulatory requirements for EE or SE products and services | 2<br>(10%)          | 5<br>(25%)           | 7<br>(35%)           | 6<br>(30%)           | 20                    |
| Confusion about which products are best                            | 0<br>(0%)           | 8<br>(38%)           | 13<br>(62%)          | 0<br>(0%)            | 21                    |
| Confusion about where to obtain products and services              | 0<br>(0%)           | 11<br>(52%)          | 10<br>(48%)          | 0<br>(0%)            | 21                    |

| Answer Options   | I don't know | Major Barrier | Minor Barrier | Not A Barrier            | Response Count |
|--|--------------|---------------|---------------|--------------------------|----------------|
| Too much regulation from Legislature                                       | 2<br>(10%)   | 4<br>(20%)    | 6<br>(30%)    | 8<br>(40%)               | 20             |
| Too much regulation from PUC   | 1<br>(5%)    | 4<br>(20%)    | 8<br>(40%)    | 7<br>(35%)               | 20             |
| Sustainable energy producers cannot compete against traditional generation | 2<br>(10%)   | 13<br>(62%)   | 4<br>(19%)    | 2<br>(10%)               | 21             |
| Other (please specify):  |              |               |               |                          | 8              |
|  |              |               |               | <i>answered question</i> | 21             |

**Q12. COMMENTS. Other (please specify):**

| Count | Description  |
|-------|--|
| 2     | Lack of support from Legislature.  |
| 1     | Barriers to private investment.  |
| 1     | No financing mechanism.  |
| 1     | Rulings by the PUC's staff.  |
| 1     | Increase incentives for renewable energy and EE and reduce or eliminate incentives for fossil fuels to level the playing field.  |
| 1     | PUC's lack of buy in is a major problem. Even laws on the books that favor clean energy are interpreted in a way that undermines them.   |
| 1     | EE and SE projects must compete for limited financial resources with all other projects a business or residential customer might undertake and it must come out on top.  |
| 1     | Utilities have a disincentive to support comprehensive EE and SE.  |
| 1     | Surrounding states have established, well-funded programs so most contractors work in them.  |
| 1     | PUC docket process is administratively burdensome.   |
| 1     | American Recovery and Reinvestment Act has been disruptive to private sector design/build industry. It has created the notion that if grants are not available to pay for EE investments, then they cannot be accomplished. It has also created a paper chase for energy audits and studies. |
| 1     | Many perceived barriers to EE do not exist.  |
| 1     | Policy framework set by the Legislature is inadequate and fragmented because there is no single executive agency with authority and resources to plan, coordinate, and provide oversight functions.  |
| 1     | PUC should not administer EE or SE as it confuses its primary role of oversight and adjudication of utility matters.   |
| 15    | <b>Total Comments</b>  |
| 8     | <b>Total Respondents</b>   |

**Q13. Have you ever contributed to writing the EESE Board's annual report?**

| <b>Answer Options</b>   | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Yes   | 48%                     | 10                    |
| No  | 52%                     | 11                    |
| N/A (No report has been written since I have been on the Board) | 0%                      | 0                     |
| Please Explain:   |                         | 0                     |
| <i>answered question</i>  |                         | <b>21</b>             |

**Q14. How effectively do the EESE Board's annual reports:**

| <b>Answer Options</b>  | <b>Very thoroughly</b> | <b>Some-what</b> | <b>Not very thoroughly</b> | <b>Not at all</b> | <b>I don't know</b> | <b>Response Count</b> |
|--|------------------------|------------------|----------------------------|-------------------|---------------------|-----------------------|
| provide an update on the Board's activities?                       | 13<br>(68%)            | 6<br>(32%)       | 0<br>(0%)                  | 0<br>(0%)         | 0<br>(0%)           | 19                    |
| provide recommendations for action including possible legislation? | 5<br>(25%)             | 10<br>(50%)      | 3<br>(15%)                 | 2<br>(10%)        | 0<br>(0%)           | 20                    |
| Please feel free to comment:                                       |                        |                  |                            |                   |                     | 0                     |
| <i>answered question</i>   |                        |                  |                            |                   |                     | <b>20</b>             |

**Q15. Do you have recommendations on how to improve the annual reports?**

| <b>Answer Options</b>    | <b>Response Percent</b> | <b>Response Count</b> |
|--------------------------|-------------------------|-----------------------|
| Yes                      | 15%                     | 3                     |
| No                       | 85%                     | 17                    |
| Please Explain:          |                         | 3                     |
| <i>answered question</i> |                         | <b>20</b>             |

**Q15. COMMENTS. Please explain:**

| <b>Count</b> | <b>Description</b>   |
|--------------|--|
| 1            | Get the right leadership, fund staff, and write a comprehensive statewide energy plan.   |
| 1            | With the lack of resources and lack of authority, these reports do not need much more even though they probably are not that useful. |
| 1            | Board has been too afraid to flex what muscle it has for fear of having the limited duties it has getting yanked by the Legislature. |
| 1            | Stronger recommendations needed.   |
| 4            | <b>Total Comments</b>  |
| 3            | <b>Total Respondents</b>   |



**Q16. Does the Board generally try to reach a consensus before voting on its work?**

| <b>Answer Options</b> | <b>Response Percent</b>         | <b>Response Count</b> |
|-----------------------|---------------------------------|-----------------------|
| Yes                   | 95%                             | 19                    |
| No                    | 5%                              | 1                     |
| Please Explain:       |                                 | 6                     |
|                       | <i><b>answered question</b></i> | <b>20</b>             |

**Q16. COMMENTS. Please explain:**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 3            | Board has always worked on consensus / Votes rarely taken.  |
| 2            | Operating under consensus leads to business as usual.   |
| 1            | Never allowed to discuss anything meaningful because leadership is afraid we won't reach consensus we have never been allowed to try.                     |
| 1            | The problem lies in the philosophy of the Board's direction that tends to be non-market focused. Consensus is reached, but not on the correct principles. |
| 1            | As a non-voting member, appreciative the Board works on consensus.  |
| 8            | <i><b>Total Comments</b></i>  |
| 6            | <i><b>Total Respondents</b></i>   |

**Q17. The Board generally takes a vote before: (check all that apply)**

| <b>Answer Options</b>                              | <b>Response Percent</b>         | <b>Response Count</b> |
|--|---------------------------------|-----------------------|
| Taking a policy position                           | 75%                             | 15                    |
| Testifying to the Legislature                      | 70%                             | 14                    |
| Creating a new sub-committee                       | 50%                             | 10                    |
| Releasing written documents such as annual reports | 85%                             | 17                    |
| The Board does not take votes                      | 20%                             | 4                     |
| I don't know                                       | 0%                              | 0                     |
| Other things the Board votes on:                   | 15%                             | 3                     |
|  | <i><b>answered question</b></i> | <b>20</b>             |

**Q17. COMMENTS. Other things the board votes on:**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 3            | Procedural matters such as approving minutes, adjournment.                            |
| 1            | Except for procedural matters, Board only takes vote when clear consensus is reached. |
| 4            | <b><i>Total Comments</i></b>  |
| 3            | <b><i>Total Respondents</i></b>   |

**Q18. How could the EESE Board have a greater impact on energy efficiency and sustainable energy programs in the State?**

| <b>Open-Ended Responses</b>   | <b>Response Count</b> |
|---|-----------------------|
| Be given more resources / staff / budget.   | 5                     |
| Be given more authority / Board is advisory with limited power.   | 4                     |
| Improve coordination.   | 2                     |
| Become more aggressive regarding energy efficiency policy.  | 2                     |
| Work more closely with utilities.   | 1                     |
| More focused mission.   | 1                     |
| Be given a real voice on policy matters.  | 1                     |
| Perhaps it's not needed if a single agency is charged with overall EE/SE responsibility.  | 1                     |
| Needs to have voting members that support EE/SE.  | 1                     |
| Reduce the fear some Board members have that if they speak up, their funding/job will be cut.   | 1                     |
| The ED controls the largest share of EE investments. Get the ED to attend Board meetings so they don't implement policies that contradict Board recommendations.  | 1                     |
| Utilities are non-voting members yet are given permission to set the general direction of the Board's priorities.   | 1                     |
| Study objectively that which has been accomplished. Are we working towards reducing the cost per ton of carbon emitted?   | 1                     |
| Given its limitations, the Board has done an excellent job sharing information and serving in an advisory role. It has not taken an advocacy role on these issues due it's large and varied representation because it is difficult to obtain consensus on significant issues. | 1                     |
| <b><i>Total Comments</i></b>  | <b>23</b>             |
| <b><i>Total Respondents</i></b>   | <b>13</b>             |

**Q19. How could the EESE Board improve its efficiency (i.e., accomplish its goals more quickly)?**

| <b>Open-Ended Responses</b>  | <b>Response Count</b> |
|--|-----------------------|
| Be given more resources.   | 3                     |
| Do not duplicate work of others.   | 2                     |
| Board spends a lot of time in the details. Stay focused on policy.               | 2                     |
| Given the Board's voluntary service and statutory authority, it does a good job. | 2                     |
| Set goals and work towards them.   | 1                     |
| More clear authority.  | 1                     |
| Coordination.  | 1                     |
| Find out who accomplishes the EE/SE work and help them grow.                     | 1                     |
| <b>Total Comments</b>  | <b>13</b>             |
| <b>Total Respondents</b>   | <b>12</b>             |

**Q20. Do you agree or disagree with the following statements?**

| <b>Answer Options</b>  | <b>Agree</b> | <b>Disagree</b> | <b>I'm not sure</b> | <b>Response Count</b> |
|--|--------------|-----------------|---------------------|-----------------------|
| The goals of the EESE Board and the PUC are closely aligned.                                 | 5<br>(26%)   | 8<br>(42%)      | 6<br>(32%)          | 19                    |
| The Sustainable Energy Division within the PUC strongly supports the work of the EESE Board. | 20<br>(95%)  | 0<br>(0%)       | 1<br>(5%)           | 21                    |
| The Electric Division within the PUC strongly supports the work of the EESE Board.           | 3<br>(15%)   | 10<br>(50%)     | 7<br>(35%)          | 20                    |
| The PUC Commissioners strongly support the work of the EESE Board.                           | 12<br>(60%)  | 3<br>(15%)      | 5<br>(25%)          | 20                    |
| The EESE Board strongly supports the work of the PUC (please specify below).                 | 9<br>(50%)   | 4<br>(22%)      | 5<br>(28%)          | 18                    |
| The goals of the EESE Board and the Office of Energy and Planning (OEP) are closely aligned. | 13<br>(62%)  | 5<br>(24%)      | 3<br>(14%)          | 21                    |
| OEP strongly supports the work of the EESE Board.  | 17<br>(81%)  | 2<br>(10%)      | 2<br>(10%)          | 21                    |
| The EESE Board strongly supports the work of OEP.  | 16<br>(76%)  | 4<br>(19%)      | 1<br>(5%)           | 21                    |
| The work of the OEP and the EESE Board overlap (please specify below).                       | 12<br>(60%)  | 5<br>(25%)      | 3<br>(15%)          | 20                    |

| <b>Answer Options</b>   | <b>Agree</b> | <b>Disagree</b> | <b>I'm not sure</b>      | <b>Response Count</b> |
|---|--------------|-----------------|--------------------------|-----------------------|
| The work of the PUC and the EESE Board overlap (please specify below).  | 10<br>(50%)  | 8<br>(40%)      | 2<br>(10%)               | 20                    |
| The work of the Department of Environmental Services and the EESE Board overlap (please specify below).             | 9<br>(43%)   | 7<br>(33%)      | 5<br>(24%)               | 21                    |
| The work of the Department of Resources and Economic Development and the EESE Board overlap (please specify below). | 3<br>(17%)   | 8<br>(44%)      | 7<br>(39%)               | 18                    |
| Please provide specific examples of EESE Board support or overlap: (or other comments as necessary).                |              |                 |                          | 12                    |
|   |              |                 | <i>answered question</i> | 21                    |

**Q20. COMMENTS. Please provide specific examples of EESE Board support or overlap: (or other comments as necessary)**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 5            | The Board functions as a forum for EE/SE related programs to consider policies and programs.  |
| 3            | Board's role is to advise.  |
| 2            | Responsibilities do not overlap with other agencies because the Board is advisory.  |
| 2            | PUC Electric Division staff actively work against the EESE Board's mission and goals.   |
| 2            | The Board supports the SE Division and visa-versa.  |
| 2            | A single agency is needed.  |
| 1            | Overlap between SE Division and the EESE Board.   |
| 1            | Generally overlap is good.  |
| 1            | Concerned with the revolving door between PUC and utilities.  |
| 1            | Current system is broken. Without changes, the Board or any other energy board cannot be effective.   |
| 1            | Need qualified knowledgeable staff and commissioners.   |
| 1            | Need comprehensive state energy policy.   |
| 1            | The Board has not provided many recommendations to: the Legislature other than recommending a study on energy which was administered by the PUC, the PUC which already has mechanisms for stakeholder input on EE/SE; the Office of Energy and Planning (OEP) on energy programs which already has mechanisms for stakeholder input on EE/SE; or on an energy policy. The OEP just received over \$300,000 grant for working on an energy policy for the State. |

- 1 Sadly, the PUC staff do not support efficiency or clean energy and they should given the State law that provides that least cost energy and clean energy are the State's policy goals. As a result, even when utilities propose efficiency or clean energy projects, most PUC staff opposed them, even when they cost less than traditional supply.
- 1 OEP appears to tell the EESE Board what OEP is doing but OEP is not on the same page regarding goals and the implementation of those goals.
- 1 SE Division given no resources to support the Board.
- 1 The Board, PUC, and OEP have different delegated authorities and missions and have cooperated with each other quite well.
- 27 **Total Comments**
- 12 **Total Respondents**

**Q21. Feel free to provide any additional comments:**

| <b>Open-Ended Responses</b>   | <b>Response Count</b> |
|---|-----------------------|
| Publicly appointed commissions such as the EESE Board should have term limits to keep the members fresh.  | 1                     |
| The PUC's lack of support for the EESE board is troubling, especially with all of the state laws and policies that support efficiency and clean energy.   | 1                     |
| There are currently too many state entities with overlapping or unclear roles for EE and SE.  | 1                     |
| The Board is very broadly represented, and sometimes finds consensus challenging.   | 1                     |
| Despite the lack of resources and authority, the EESE board has accomplished a lot; the VEIC study, for example, is a major milestone. The PUC has NEVER done a comprehensive review of the ratepayer funded programs, nor does it meaningfully review the proposed programs each year to help make them more effective and more efficient. | 1                     |
| Some Board members are openly distrustful of market solutions in energy efficiency. There is often a clear tension between non-governmental organizations and private market folks. This is very healthy, and a fundamental reason for having an EESE Board.  | 1                     |
| <b>Total Comments</b>   | <b>6</b>              |
| <b>Total Respondents</b>  | <b>4</b>              |

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**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX G  
RESIDENTIAL RATEPAYER'S ADVISORY BOARD SURVEY RESULTS**

We conducted an online survey of the ten members of the Residential Ratepayers' Advisory Board, and received nine responses for a 90 percent response rate. Survey results follow.

**Q1. In your opinion, is the OCA efficient and effective in representing the residential ratepayer?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 100%                        | 9                         |
| No (please explain)   | 0%                          | 0                         |
|                       | <i>answered question</i>    | 9                         |

**Q2. Are there additional duties or responsibilities which should belong to the OCA?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| No                    | 89%                         | 8                         |
| Yes (please explain)  | 11%                         | 1                         |
|                       | <i>answered question</i>    | 9                         |

**Q2. COMMENTS. Are there additional duties or responsibilities which should belong to the OCA?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | Consumer advocacy could include consumer issues beyond public utilities. |
| 1            | <b>Total Comments</b>  |
| 1            | <b>Total Respondents</b>   |

**Q3. Is the OCA adequately staffed?**

| <b>Answer Options</b> | <b>Response<br/>Percent</b> | <b>Response<br/>Count</b> |
|-----------------------|-----------------------------|---------------------------|
| Yes                   | 78%                         | 7                         |
| No (please explain)   | 22%                         | 2                         |
|                       | <i>answered question</i>    | 9                         |

**Q3. COMMENTS.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | The OCA needs another investigator with research economist credentials |
| 1            | The OCA seems understaffed and overworked                              |
| 2            | <b>Total Comments</b>  |
| 2            | <b>Total Respondents</b>   |

**Q4. Does the OCA provide adequate administrative support to the Board?**

| <b>Answer Options</b>    | <b>Response Percent</b> | <b>Response Count</b> |
|--------------------------|-------------------------|-----------------------|
| Yes                      | 100%                    | 9                     |
| No (please explain)      | 0%                      | 0                     |
| <i>answered question</i> |                         | <b>9</b>              |

**Q5. Do you have contact with the OCA outside of the quarterly Board meeting?**

| <b>Answer Options</b>    | <b>Response Percent</b> | <b>Response Count</b> |
|--------------------------|-------------------------|-----------------------|
| No                       | 33%                     | 3                     |
| Yes (please explain)     | 67%                     | 6                     |
| <i>answered question</i> |                         | <b>9</b>              |

**Q5. COMMENTS. Do you have contact with the OCA outside of the quarterly Board meeting?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 5            | Occasionally; Board members will at times discuss issues with the OCA. |
| 1            | Yes, via email and newsletters.  |
| <b>6</b>     | <b>Total Comments</b>  |
| <b>6</b>     | <b>Total Respondents</b>   |

**Q6. Open-ended question. How does the OCA affect price, safety and reliability of services?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 5            | By advocating for consumer interests on a variety of issues.   |
| 1            | By giving voice to a variety of interests that would not otherwise be heard.                           |
| 2            | Utilities are aware of and pay attention to the OCA, which may affect the utilities' decision process. |
| <b>8</b>     | <b>Total Comments</b>  |
| <b>6</b>     | <b>Total Respondents</b>   |

**Q7. Does the OCA operate efficiently and effectively?**

| <b>Answer Options</b>                         | <b>Response Percent</b> | <b>Response Count</b> |
|---|-------------------------|-----------------------|
| Yes   | 89%                     | 8                     |
| No (please describe improvements you suggest) | 11%                     | 1                     |
| <i>answered question</i>                      |                         | <b>9</b>              |



**Q7. COMMENTS. Does the OCA operate efficiently and effectively?**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | They are understaffed and do the best they can given the circumstances; the answer could be yes, within their restrictions. |
| 1            | <b>Total Comments</b>   |
| 1            | <b>Total Respondents</b>  |

**Q8. How does the OCA notify you of impending rate cases or issues affecting residential ratepayers? (check all that apply)**

| <b>Answer Options</b>    | <b>Response Percent</b> | <b>Response Count</b> |
|--------------------------|-------------------------|-----------------------|
| Telephone                | 0%                      | 0                     |
| Email                    | 100%                    | 9                     |
| Hard copy letter         | 22%                     | 2                     |
| Other (please specify)   | 11%                     | 1                     |
| <i>answered question</i> |                         | <b>9</b>              |

**Q8. COMMENTS. How does the OCA notify you of impending rate cases or issues affecting residential ratepayers?**

| <i>Count</i> | <i>Description</i>       |
|--------------|--------------------------|
| 1            | At board meetings        |
| 1            | <b>Total Comments</b>    |
| 1            | <b>Total Respondents</b> |

**Q9. How do you personally keep informed of issues affecting the residential ratepayer? (Check all that apply)**

| <b>Answer Options</b>    | <b>Response Percent</b> | <b>Response Count</b> |
|--------------------------|-------------------------|-----------------------|
| Television               | 67%                     | 6                     |
| Newspaper                | 100%                    | 9                     |
| Magazines                | 22%                     | 2                     |
| OCA Information Packets  | 89%                     | 8                     |
| Contacts with Ratepayers | 78%                     | 7                     |
| Other (please specify)   | 33%                     | 3                     |
| <i>answered question</i> |                         | <b>9</b>              |

**Q9. COMMENTS.**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | Utilities.  |
| 1            | Community and business involvement.                               |
| 1            | A mechanism to increase contacts with ratepayers could be useful. |
| 3            | <b>Total Comments</b>   |
| 3            | <b>Total Respondents</b>  |

**Q10. How do residential ratepayers learn they have representation on the Board? (Check all that apply)**

| <b>Answer Options</b>  | <b>Response<br/>Percent</b>     | <b>Response<br/>Count</b> |
|------------------------|---------------------------------|---------------------------|
| Newsletters            | 78%                             | 7                         |
| Newspapers             | 67%                             | 6                         |
| Email/Website          | 89%                             | 8                         |
| Telephone              | 22%                             | 2                         |
| Community Forums       | 44%                             | 4                         |
| Other (please specify) | 22%                             | 2                         |
|                        | <b><i>answered question</i></b> | <b>9</b>                  |

**Q10. COMMENTS. How do residential ratepayers learn they have representation on the Board?**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 1            | Word of mouth.  |
| 1            | It is unlikely many ratepayers know there is a board representing them. |
| <b>2</b>     | <b>Total Comments</b>   |
| <b>2</b>     | <b>Total Respondents</b>  |

**Q11. Open-ended question. Please describe the Board's authority to affect the OCA, such as decisions to participate in dockets or what position to take.**

| <i>Count</i> | <i>Description</i>  |
|--------------|---|
| 8            | The Board's role is advisory; the Board meets with OCA staff to determine priorities and direction. |
| 1            | The Board makes recommendations regarding the appointment of a consumer advocate.                   |
| <b>9</b>     | <b>Total Comments</b>   |
| <b>8</b>     | <b>Total Respondents</b>  |

**Q12. COMMENTS. If a disagreement between the Board and the OCA arises, please describe how it is resolved.**

| <i>Count</i> | <i>Description</i>                  |
|--------------|-------------------------------------|
| 3            | Cannot recall any disagreements.    |
| 3            | Discussion or mediation.            |
| 2            | Decisions are reached by consensus. |
| <b>8</b>     | <b>Total Comments</b>               |
| <b>8</b>     | <b>Total Respondents</b>            |

**Q13. In your opinion, please rate the Board's effectiveness in representing residential ratepayers.**

| <b>Answer Options</b>                 | <b>Response Percent</b> | <b>Response Count</b> |
|---------------------------------------|-------------------------|-----------------------|
| Very effective                        | 88%                     | 7                     |
| Somewhat effective                    | 13%                     | 1                     |
| Neither effective or ineffective      | 0%                      | 0                     |
| Not effective                         | 0%                      | 0                     |
| Please enter any additional comments. |                         | 3                     |
| <b>answered question</b>              |                         | <b>8</b>              |

**Q13. COMMENTS. In your opinion, please rate the Board's effectiveness in representing residential ratepayers.**

| <i>Count</i> | <i>Description</i>                                       |
|--------------|--|
| 2            | Board members are dedicated and take role seriously.     |
| 1            | Board members' interactions with ratepayers are minimal. |
| 3            | <b>Total Comments</b>                                    |
| 3            | <b>Total Respondents</b>                                 |

**Q14. Open-ended question. Could the OCA fulfill its duties and responsibilities without guidance from the Board? Please explain.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 3            | The OCA could probably fulfill its responsibilities without Board guidance.                    |
| 4            | The OCA could not (or could probably not) fulfill its responsibilities without Board guidance. |
| 6            | The Board serves a valuable role in assisting/providing guidance to the OCA.                   |
| 13           | <b>Total Comments</b>  |
| 8            | <b>Total Respondents</b>   |

**Q15. Open-ended question. Should the Board have roles and responsibilities, in addition to its currently assigned duties?**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 7            | No   |
| 1            | An organized system of increased contact between the Board and ratepayers might be helpful.      |
| 1            | For the Board to take on additional roles would be costly as it might require a full-time Board. |
| 9            | <b>Total Comments</b>  |
| 8            | <b>Total Respondents</b>   |

**Q16. Open-ended question. Please provide any additional comments, concerns, or suggestions.**

| <i>Count</i> | <i>Description</i>   |
|--------------|--|
| 1            | The system seems to work well.   |
| 1            | The OCA does a great job.  |
| 1            | The OCA serves an important role that could not be met in any other way. |
| <b>3</b>     | <b>Total Comments</b>  |
| <b>3</b>     | <b>Total Respondents</b>   |

**STATE OF NEW HAMPSHIRE  
PUBLIC UTILITIES COMMISSION**

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**APPENDIX H  
CURRENT STATUS OF PRIOR AUDIT FINDINGS**

The following is a summary of the status of observations applicable to this performance audit found in the *Public Utilities Commission Financial And Compliance Audit Report For The Nine Months Ended March 31, 2003* and the *Public Utilities Commission Audit Report For The Nine Months Ended March 31, 1994*. A copy of the prior audits can be obtained from the Office of Legislative Budget Assistant, Audit Division, 107 North Main Street, State House Room 102, Concord, NH 03301-4906.

***Public Utilities Commission Financial And Compliance Audit Report For The Nine Months Ended March 31, 2003***

| <u>No.</u> | <u>Title</u>   | <u>Status</u> |
|------------|--|---------------|
| 1.         | Policies, Procedures, And Controls Over Utility Assessment Calculations Should Be Improved | ● ● ●         |
| 3.         | Procedures To Account For Special Assessments Should Be Improved                           | ● ● ●         |
| 9.         | Disaster Recovery Plan Should Be Updated ( <i>See Current Observation No. 12</i> )         | ● ● ○         |

***Public Utilities Commission Audit Report For The Nine Months Ended March 31, 1994***

| <u>No.</u> | <u>Title</u>                            | <u>Status</u> |
|------------|---|---------------|
| 6.         | Adjustments to Assessments of Utilities | ● ● ●         |
| 7.         | Utility Assessment Dates                | ● ● ●         |

**Status Key**

|                        |       |
|------------------------|-------|
| Fully Resolved         | ● ● ● |
| Substantially Resolved | ● ● ○ |
| Partially Resolved     | ● ○ ○ |
| Unresolved             | ○ ○ ○ |

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