


# Reorganization of Legal Functions within the Indiana Utility Regulatory Commission

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# Prior Organization of Legal Functions



# Need to Improve Prior Organization

- Prior organization took a two column approach to addressing legal work within the Commission
  - Assignments were made based on office responsibilities rather than upon expertise or experience regarding issues.
    - Internal legal work- General Counsel
    - Hearings and Related Issues- Administrative Law Judges
    - Insular approach to addressing legal issues

# Objectives of Reorganization

- Create an organizational model that allows the Commission to draw from all legal resources in the Commission for multiple purposes
- Create an organizational model that eliminates the internal division of legal functions and allows for the comprehensive overview of all legal issues that impact the Commission

# Goals to be Achieved

- Enhanced flexibility in legal assignments-
  - Tasks assigned based on experience and expertise rather than a predetermined office function within the Commission
- Increased opportunity for cross training and utilization of attorneys
- Single Legal Office with multiple responsibilities



# Additional Objectives

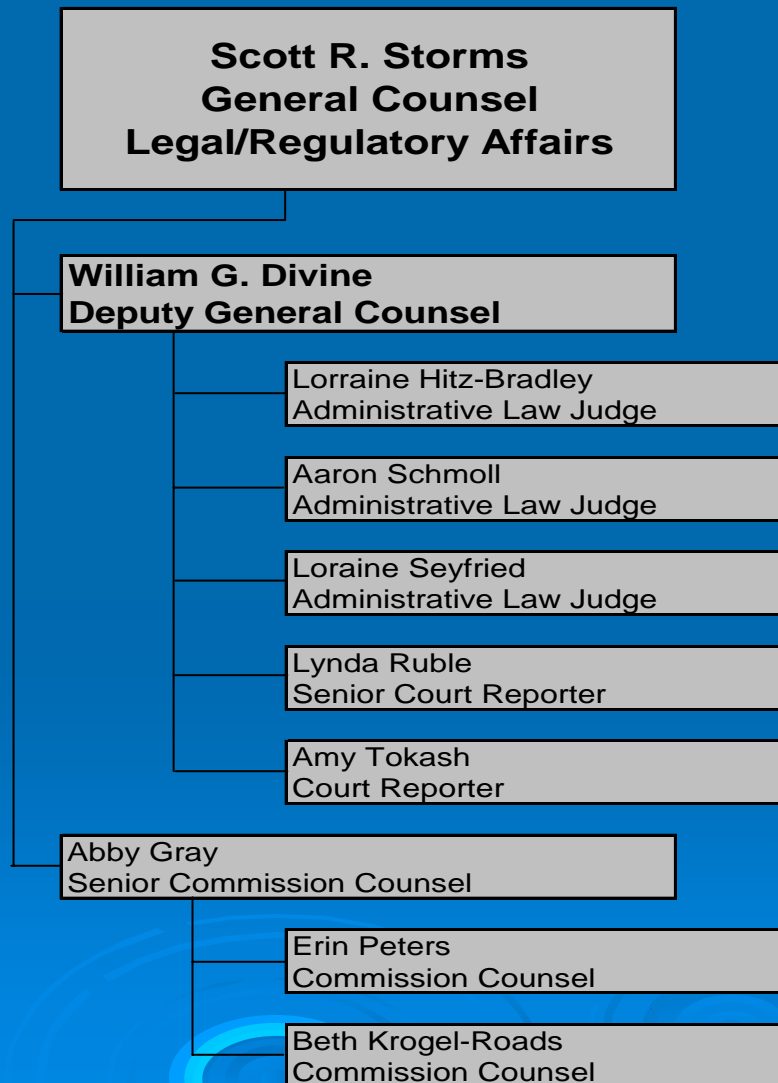
- Improve coordination of legal and policy issues within the Commission
  - Single legal office necessary to enhance knowledge and role of legal, policy, and legislative matters faced by the Commission
  - A single individual that reports directly to the Chairman is seen as necessary to effectuate coordinated approach to legal matters faced by the Commission

# Office of General Counsel

- New office combines functions of Administrative Law Judges and the General Counsel under a single legal umbrella



# Structure of Office of General Counsel



# Structure of Office of General Counsel

- The legal needs of the Commission are varied, as are the skills and experience levels of its attorneys. Thus, the Office of General Counsel is structured in a way that allows the Commission to maximize the use of its legal resources, yet is designed to ensure adherence to the requirements that prohibit ex parte communications in formal proceedings pending before the Commission.

# Office of General Counsel Structural Hierarchy

- The General Counsel is the Commission's senior legal officer, reports to the Chairman of the Commission, and is responsible for all legal operations of the Commission. The Deputy General Counsel is the Commission's second most senior legal officer, reports to the General Counsel, and supervises the Administrative Law Judges. Both the General Counsel and Deputy General Counsel may function as Administrative Law Judges. The Senior Commission Counsel reports to the General Counsel and is the immediate supervisor of the Commission Counsels.

# Functions of the Office of General Counsel

- The Office of General Counsel serves as the chief legal and policy advisor to the Indiana Utility Regulatory Commission and provides complete legal support for all aspects of the Commission's operation, including acting as the Commission's Ethics Officer.
- A major function of attorneys in the Office of General Counsel is to serve as Administrative Law Judges in formally docketed proceedings before the Commission.
- As part of the Commission's legislative team, attorneys in the Office of General Counsel monitor and analyze proposed legislation that may impact the Commission and the utility industry. Attorneys in the Office of General Counsel also conduct legal research on a wide range of issues and work with attorneys, other state commissions, federal agencies, including the Federal Energy Regulatory Commission, and organizations such as the National Association of Regulatory Utility Commissioners.

# Interaction with Technical Staff

- Single point of contact for legal assignments
  - Ability to assign attorneys within the Commission to many different types of issues
  - Avoids duplicity in legal assignments and provides for coordinated approach to issues
  - Opportunity for attorneys to have multiple responsibilities with respect to necessary legal work within a technical division

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