

Rate Case Filing Requirements



GENERAL

	AR	IN	KY	LA	MI	OH	OK	TN	TX (SPP)	TX (ERCOT)	VA	WV	FERC Generation	FERC Transmission
Time Limitations Between Cases	No	Yes	No	No	> 12 mos.	Yes	No	No	< 48 mos.	< 48 mos.	Yes	No	-	-
Rates Effective Subject to Refund	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No	No	No	-	-
Fuel Clause Renewal Frequency	Annual	Bi-Annual	Monthly	Monthly	Annual	-	Semi-Annual	Annual	As Needed/Threshold ¹	-	Annual	Annual	-	-
Approx # of Months After Filing to Implement Rates	10	10 @ 50% if no order	6	4 ²	10	9	6	7	12 ³	12	10 ⁴	10	< 1	2
Approx # of Months After Filing Order Expected	10	10	10	4 ²	10	13	6	7	12	9	8	10	-	-

NOTICE OF INTENT

	AR	IN	KY	LA	MI	OH	OK	TN	TX (SPP)	TX (ERCOT)	VA	WV	FERC Generation	FERC Transmission
Prior PSC Notice Required?	Yes	Yes	Yes	No	Yes	Yes	Yes	No	Yes ⁵	Yes ⁵	Yes	Yes	No	No
Notice Period (days)	60-90	30	30-60	-	60	30	45	-	30	30	60	30	-	-

CASE COMPONENTS

	AR	IN	KY	LA	MI	OH	OK	TN	TX (SPP)	TX (ERCOT)	VA	WV	FERC Generation	FERC Transmission
Base Case Test Year	Partially Projected	Hist., Forecast or Hybrid	Hist. or Forecast	Hist. (Formula Rate)	Forecast Optional	Forecast Optional	Hist.	Hist. or Forecast	Hist.	Hist.	Hist.	Hist.	Historical/Forecasted	Forecasted
Post Test Year Adj. Period (Months)	12	12	12	-	-	-	6	12	Items >10% rate base ⁶	Items >10% rate base ⁶	12	12	-	True-up

¹ Fuel clause may be revised in May/Sept/Jan, in base rate case, or on an interim basis if under-recovery greater than the rolling 12-month annual fuel cost.

² Applies to Formula Rate Plan only.

³ Rates not implemented until final order received. After order received, new rates are retroactive to 155 days after the case file date.

⁴ For a biennial rate case commencing on May 31, the SCC shall grant a final order no later than January 15 of the subsequent year, with rates taking effect no earlier than March 1 of the subsequent year. SCC has statutory limits to issue decisions within 3 months for transmission cost recovery, 8 months for environmental compliance and 9 months for cost recovery related to new generating facility.

⁵ Notice is sent to municipalities within the jurisdiction but is not a filing with the PUCT.

⁶ Post test year adjustments may be made for investments that represent 10% of rate base and are expected to be in service before rates go into effect.