# 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 | Yes | No | < 48 mos. | < 48 mos. | Yes | No | - | - |
| **Rates Effective Subject to Refund** | Yes | Yes | Yes | Yes | Yes | No | 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 | 14 | 6 | 10 | 12[3] | 12 | 10[4] | 10 | < 1 | 2 |
| **Approx # of Months After Filing Order Expected** | 10 | 10 | 10 | 4[2] | 10 | 14 | 6 | 10 | 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 | Yes | 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** | Hist., or Partially Projected | Hist., Forecast, or Multi-year Forecast | 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] | 24 | 12 | True-up | 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.