

# SUMMARY OF RATE CASE FILING REQUIREMENTS

FERC  
Transmission

AR      IN      KY      LA      MI      OH      OK      TN      TX      VA      WV      FERC

## GENERAL

Time Limitations Between Cases	No	Yes	No	No	No	No	No	No	No	Yes	No	N/A	N/A
Rates Effective Subject to Refund	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No	Yes	Yes
Fuel Clause Renewal Frequency	Annually	Semi-Annually	Monthly	Monthly	Annually	N/A	Annually	Annually	Tri-Annually	Annually	Annually	N/A	N/A
Approx # of months after filing to implement rates	10	10 @ 50% if no order	6	4	10	9	6	9	6	10 Note 8	10	2 or 7	Varies
Approx # of months after filing order expected	10	10	6	4	10	9	6	9	6	8	10	2 or 7	N/A

## Notice of Intent

Prior PSC Notice Required?	Yes	Yes	Yes	No	Optional	Yes	Yes	No	Yes	Yes	Yes	No	No
Notice Period (days)	60	Varies	28	N/A	45	30	45	N/A	30	60	30	No	No

## CASE COMPONENTS

	Partially Projected	Hist.(Forecast Opt/ Hybrid)	Forecast Optional	Hist.(Formula Rate)	Forecast Optional	Partially/Fully Projected	Hist.	Hist.	Hist.	Hist.	Hist.	Forecast	Historical/ Forecast Filed
Base Case Test Year													
Post Test/Year Adjustment Period (Months)	12	12	12	--	--	--	Min 6, no max	18	--	3	12	--	Varies
Cash Return on CWIP	Partial	Limited Note 2	Optional Note 3	Partial Note 1	Yes	Limited Note 4	No Note 1	Yes	Limited Note 5	Yes	Note 7	Limited Note 6	Varies

**Note 1:** CWIP that is projected to be placed into service within six months post test year is included in rate base (for LA, under separate docket only). No CWIP in annual formula rates.

**Note 2:** CWIP is not included in rate base for a general rate case. However, for Clean Coal Technology using Indiana Coal or Qualified Pollution Control Property, Cook Life Cycle Management Projects and Federally Mandated Projects the Commission may add CWIP to utility property for ratemaking purposes between rate cases via a surcharge. In addition, legislation (SB 251) was passed that will allow CWIP recovery through a tracker for Cook Life Cycle Management projects.

**Note 3:** KPCo uses capitalization instead of rate base which includes CWIP, however, there is also a partial AFUDC offset which partially negates the cash return effect of CWIP in capitalization or rate base.

**Note 4:** Ohio (ESP) cases are cost-based. Distribution cases are cost-of-service based.

**Note 5:** Can request inclusion in rate base but requires a showing that it is needed to maintain financial integrity. The financial integrity standard in Texas is not clearly defined and has been essentially impossible to meet.

**Note 6:** The general FERC rule has been to allow CWIP in rate base.

**Note 7:** Allows environmental CWIP in Rate Base.

**Note 8:** The SCC is required to issue a biennial order within 8 months of filing. Rates are to be implemented 60 days after order and are NOT subject to refund. Depending on the nature of the RAC, the SCC has a statutory limit to issue decisions within 3 months for a transmission cost recovery RAC, 8 months for an environmental compliance, RPS-RAC or DR/EE-RAC, and 9 months for cost recovery related to a new generating facility.