

**APPENDIX A
RATE CASE PLAN**

SUMMARY OF RATE CASE PLAN

(See pages A-5 – A-7 for Summary of Rate Case Plan Applicable to Edison)

Day Schedule

Tendered Within 7 days of tendering, Staff Counsel and the project team shall be assigned.

Within 25 days after tendering, applicant to be notified of deficiencies by DRA Project Manager

RCP

- 60	Accepted NOI served
0	Except for electric rate design, application is filed
2	Date, time and location set for prehearing conference and public comment hearings
40	Prehearing Conference held
77	Except for electric rate design, staff submits all exhibits including marginal cost and revenue allocation
90	Applicant's complete electric rate design proposal filed
98	Evidentiary hearings begin. At least 15 days of hearings per month
122	Except for electric rate design, other parties submit evidence including marginal cost and revenue allocation
177	Evidentiary hearings on initial showing completed
180	Applicant, staff and other parties file rebuttal exhibits
190	Rebuttal hearings begin
190	Utility submits updated electric rate design

- 194 Hearings completed except for update material scheduled for Day 294
- 206 Comparison Exhibit mailed 12 days after end of hearings
- 234 Opening Briefs filed 28 days after Comparison Exhibit mailed
- 248 Reply Briefs filed 14 days after Opening Briefs
- 250 Staff submits electric rate design exhibits
- 280 Applicant and all other parties may submit other than electric rate design update material (*See* page A-35).
- 290 Other parties submit electric rate design exhibits
- 294 Abbreviated hearings on updated information begin. No more than 5 days allowed.
- 298 Last day of evidentiary hearings (except electric rate design).
- 311 Electric rate design hearings begin
- 322 Electric rate design hearings end
- 329 Electric rate design rebuttal exhibits submitted
- 339 Electric rate design rebuttal hearings begin
- 343 Electric rate design rebuttal hearings end
- 344 ALJ Draft filed and served on all parties
- 361 Electric rate design opening briefs filed and served on all parties
- 364 Initial Comments on ALJ Draft due
- 371 Reply Comments on ALJ Draft due
- 375 Electric rate design reply briefs filed and served

384 Final decision expected by this date (except electric rate design)
459 ALJ Draft electric rate design decision filed and served
479 Initial comments on ALJ electric rate design Draft filed
486 Reply comments on ALJ electric rate design Draft filed
502 Final electric rate design decision expected by this date

SUMMARY OF RATE CASE PLAN
EDISON ONLY

Day Schedule

Tendered	Within 7 days of tendering, Staff Counsel and the project team shall be assigned.
	Within 25 days after tendering, applicant to be notified of deficiencies by DRA Project Manager
- 60	Accepted NOI served
0	Except for electric unit marginal costs, marginal cost revenue responsibility, revenue allocation, and rate design, application is filed
2	Date, time and location set for prehearing conference and public comment hearings
40	Prehearing Conference held
77	Except for electric unit marginal costs, marginal cost revenue responsibility, revenue allocation, and rate design, DRA submits all exhibits
90	Applicant's complete electric unit marginal costs, marginal cost revenue responsibility, revenue allocation, and rate design application filed and supporting testimony served ("rate design phase")
98	Evidentiary hearings begin on revenue requirement phase. At least 15 days of hearing per month
122	Except for testimony on rate design phase, other parties submit all exhibits
177	Revenue requirement phase evidentiary hearings on initial showing completed
180	Applicant, DRA and other parties serve rebuttal exhibits on revenue requirement phase

- 190 Rebuttal hearings on revenue requirement phase begin
- 194 Hearings on revenue requirement phase completed except for update material scheduled for Day 294
- 206 Comparison Exhibit mailed 12 days after end of revenue requirement phase hearings
- 220 Utility submits updated electric rate design phase exhibits
- 234 Opening Briefs on revenue requirement phase filed 28 days after Comparison Exhibit mailed
- 248 Reply Briefs on revenue requirement phase filed 14 days after Opening Briefs
- 280 DRA serves electric rate design phase exhibits
- 280 Applicant and all other parties may submit revenue requirement phase update material (other than electric unit marginal costs, marginal cost revenue responsibility, revenue allocation, and rate design) (*See page A-35*).
- 294 Abbreviated hearings on updated revenue requirement information begin. No more than 5 days allowed.
- 298 Last day of revenue requirement phase evidentiary hearings
- 320 Intervenors (all parties other than Edison and DRA) serve unit marginal cost, marginal cost revenue responsibility, revenue allocation, and electric rate design exhibits
- 344 ALJ Draft Decision on revenue requirement phase filed and served on all parties
- 353 Electric rate design phase hearings begin
- 364 Initial Comments on ALJ Draft Decision on revenue requirement phase due
- 371 Reply Comments on ALJ Draft Decision on revenue requirement phase due

- 371 Electric rate design phase hearings end
- 384 Final decision on revenue requirement phase expected by this date
- 399 All parties serve electric rate design phase rebuttal exhibits
- 409 Electric rate design phase rebuttal hearings begin
- 420 Electric rate design phase rebuttal hearings end
- 439 Electric rate design phase opening briefs filed and served on all parties
- 453 Electric rate design phase reply briefs filed and served
- 539 Rate design phase ALJ Draft decision filed and served
- 559 Initial comments on rate design phase ALJ Draft Decision filed
- 566 Reply comments on rate design phase ALJ Draft Decision filed
- 592 Final decision on rate design phase expected by this date

SUMMARY OF ELECTRIC
RATE DESIGN WINDOWS

Day Schedule¹

RCP

Parties may file proposed electric rate design revisions from July 20th to 25th,² November 20th to 25th³ or December 20th to 26th⁴ prior to an attrition year with copies served on all other parties

0	July, November or December 26th (see footnote) of Test Year and first Attrition year
30	Comments on proposed rate design revisions to be filed and served on all parties
44	Replies to comments to be submitted and served
58	ALJ ruling on the necessity to reopen the GRC for consideration of any or all electric rate design proposals
72	Hearings begin
76	Last day of hearings
83	Concurrent briefs submitted and served
107	ALJ Draft decision filed and served on all parties
127	Initial comments on ALJ Draft filed and served
132	Reply comments on ALJ Draft filed and served
142	Final decision expected by this date

¹ If Day falls on Saturday, Sunday or holiday, the next working day should be observed.

² PP&L and SPPC will be in July.

³ PG&E and SDG&E will be in November.

⁴ SCE will be in December.

TABLE 1
SUMMARY OF ELECTRIC RATE DESIGN WINDOW SCHEDULES

Day Schedule	Event	PG&E Date	SPPC Date	SCE Date	SDG&E Date	PP&L Date
0	Proposed electric rate design revisions filed.	25-Nov	25-Jul	25-Dec	25-Nov	25-Jul
30	Comments on proposed revisions due.	25-Dec	24-Aug	24-Jan	25-Dec	24-Aug
44	Reply to comments due.	08-Jan	07-Sep	07-Feb	08-Jan	07-Sep
58	ALJ rules on reopening GRC.	22-Jan	21-Sep	21-Feb	22-Jan	21-Sep
72	Hearings begin.	05-Feb	05-Oct	07-Mar	05-Feb	05-Oct
76	Last day of hearings.	09-Feb	09-Oct	11-Mar	09-Feb	09-Oct
83	Concurrent briefs submitted.	16-Feb	16-Oct	18-Mar	16-Feb	16-Oct
107	ALJ draft decision due.	12-Mar	09-Nov	11-Apr	12-Mar	09-Nov
127	Initial comments on draft due.	01-Apr	29-Nov	01-May	01-Apr	29-Nov
132	Reply to comments on ALJ draft due.	06-Apr	04-Dec	06-May	06-Apr	04-Dec
142	Final decision due.	16-Apr	14-Dec	16-May	16-Apr	14-Dec
	Date rates become effective.	01-May	01-Jan	a/	01-May	01-Jan

a/ Rates are effective the first Sunday in June

Note:

If the above dates fall on Saturday, Sunday, or holiday, the next working day should be observed.

RATE CASE PLAN⁵Before Day - 60

The utility shall keep the Division of Ratepayer Advocates (DRA) advised of the progress of its preparation of the rate case and the expected date to serve the Notice of Intent (NOI) so that the DRA can designate a Project Manager at least 30 days in advance of service of the NOI on DRA. Within 7 days of service, staff counsel and project team are designated.

The NOI shall contain a brief statement of the amount of increase sought and the reasons for the proposed increase. An original and 7 copies of all documentation, prepared testimony, draft exhibits including complete explanations and summaries supporting the increase shall comply with the standard requirement list⁶ and 3 sets of applicant's workpapers shall be delivered to the DRA Project Manager. DRA notifies the utility when the NOI has been accepted by the staff, whereupon the utility serves the NOI, as required under Day – 60.

Within seven (7) days of service of the NOI on DRA, the applicant and DRA should begin informal meetings wherein the applicant's witnesses (or other persons intimately familiar with the workpapers) explain the workpapers to the DRA's witnesses. DRA witnesses should be familiar with applicant's workpapers prior to the informal meetings. These conferences shall be for explanation of the workpapers only, and we will not allow them to be used for the purpose of discovery. Appropriate discovery may of course continue concurrently, separate from the determination of completeness of the NOI.

In those instances where DRA has submitted data requests (called a Master Data Request) to the utility at least six months prior to the anticipated service of the

⁵ Page A-28 contains a list of the energy utilities to which the RCP applies. See Pages A-18 – A-25 for RCP applicable to Edison.

⁶ See page A-29.

NOI on DRA, the applicant shall make a reasonable effort to provide responses with the NOI.

Applicant shall furnish a copy of the NOI material to any interested party upon request.

The proposed test year shall be three years from the last adopted test year used by the Commission in setting applicant's existing rates. For example, if 1988 was the last adopted test year, the next test year to be submitted in an NOI would be 1991.

If applicant requests an attrition allowance, it shall include in its required supporting materials evidence supporting the requested attrition allowance. The NOI shall not be accepted until all of the above requirements are met.

Applicant will be notified by the DRA Project Manager of deficiencies in the NOI within 25 days of the date of service of DRA.

Although the final notice of deficiencies does not have to be sent to the utility until 25 days after service on DRA, DRA should identify and transmit each deficiency to the applicant as soon as possible. The acceptance of the NOI will be based upon whether the applicant has substantially complied with the requirements of the RCP. In the event that the utility disagrees with DRA's list of deficiencies, a written protest may be filed with the Executive Director. The protest should identify the items that the utility believes are not properly classified as deficiencies and state the reasons for its conclusion. The Executive Director's determination is final. Time consuming and/or inconsequential deficiencies may be corrected according to a schedule agreed upon by the DRA Project Manager and the applicant. DRA shall send a letter to the Chief ALJ, with a copy to the utility, affirming the date the NOI is accepted.

The NOI may contain material such as previously litigated issues on which the Commission has taken a position. This material must be clearly identified and contain a complete justification for any policy change. Showings on such material will be presented at the end of the hearing schedule, unless otherwise scheduled by the ALJ with the advice and consent of the assigned Commissioner.

Day -60 (Accepted NOI is served)

Within five days after the NOI has been accepted by DRA, applicant shall serve a Notice of Availability of the NOI on all appearances in its last general rate case. Applicant's application, testimony, and workpapers shall be provided on request.

The utility shall send a letter to the Chief ALJ verifying that it has completed service of the NOI, along with a copy of the Notice of Availability and service list.

The application may be filed no sooner than 60 days after the NOI is accepted. The date the application is filed will determine Day 0 under the rate case plan.

The utility shall provide to the Commission's Public Advisor a proposed notice to customers in a format similar to that shown on page A-36.

Day 0

- 1 The application shall be filed and served in conformity with the Rules of Practice and Procedure except that two hard copies of the application and associated testimony shall be served on the Chief ALJ. The utility shall provide notification to customers, within 45 or 75 days as required by Rule 3.2(b)-(d).
- 2 The application shall include final exhibits except electric rate design, prepared testimony, and other evidence, and shall be served on all parties to the last general rate case. The application, final exhibits, and all other evidence that is filed shall incorporate the changes, additions, and deletions required for acceptance of the NOI. No bulk or major updating amendments or recorded data to amend the final exhibits, prepared testimony, or other evidence shall be allowed, except as provided on page A-35 on Day 280, and on page A-29, item 3.
- 3 Applicant shall file a comparison exhibit showing changes that have occurred between the draft exhibits submitted with the NOI and the final exhibits submitted with the application. All the changes or revisions shown shall have been agreed to by the DRA Project Manager in an informal conference before filing the application. Should the applicant and the DRA Project Manager disagree on what revisions are acceptable, the applicant may file a formal motion with the Docket Office for acceptance of its NOI changes. All changes in figures between the NOI and the application shall be supported by workpapers which show the new figures and a reconciliation with the workpapers previously tendered.
- 4 Applicant shall deliver seven complete sets of the application and final exhibits plus three complete sets of the workpapers supporting the application and final exhibits to the DRA Project Manager. The workpapers shall incorporate all changes and additions that were necessary to gain acceptance of the NOI.
- 5 Applicant, staff, and interested parties shall send two hard copies of all exhibits, prepared testimony, and other evidence served after Day 0 to the ALJ. One copy shall be served on the Reporting Branch. Service of testimony and exhibits on parties shall be consistent with the requirements of the Rules of Practice and

Procedure. Prepared testimony should not be filed in the Docket Office after Day 0; only briefs, comments on the ALJ proposed decision, and other pleadings are to be filed.

- 6 A copy of the decision in applicant's last general rate case shall be furnished by applicant upon written request.

Day 2

The ALJ in concurrence with the assigned Commissioner shall set the day, time, and place for the prehearing conference and shall inform applicant and all parties to the last general rate case. Also at this time, the ALJ shall set the day, time and place for public comment hearings. At the appropriate time, the utility shall give notice of the Public Comment Hearings, pursuant to Rule 13.1, using the format shown on page A-36.

Day 40

A prehearing conference is held:

- 1 To take appearances.
- 2 To raise and resolve any procedural matters.
- 3 To schedule hearings and specify areas of participation if known, and specify dates for testimony if necessary to expedite the hearing procedure.

Day 77

Except for electric rate design, staff shall submit all exhibits, prepared testimony, and evidence including marginal cost and revenue allocation, and shall serve copies on all parties, consistent with the Rules of Practice and Procedure. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other staff evidence shall be allowed thereafter, except as provided on page A-35 and Day 280. Staff workpapers shall be available within five days of this date (*see* page A-34).

Day 90

Applicant shall file a complete electric rate design proposal and serve supporting exhibits and testimony. No bulk or major updating amendments or recorded data to amend the exhibits or prepared testimony shall be allowed thereafter, except as provided on page A-35 and Day 190*.

Day 91-177

Public comment hearings will be held during this period. They may be held concurrently with evidentiary hearings if necessary to complete the hearings according to this plan.

Day 98

Evidentiary hearings begin.

- 1 Hearings shall ordinarily be held not less than 15 days a month.
- 2 Where an agreement between applicant and staff is disputed by other parties, those parties shall have the right to cross-examine applicant and staff in that order. The examination will be closely controlled to prevent an undue consumption of time.

Day 122

Except for electric rate design, parties other than staff and applicant shall submit their exhibits, prepared testimony, and evidence including marginal cost and revenue allocation, and shall serve copies on all parties, consistent with the Rules of Practice and Procedure. These documents shall reflect the rulings and agreements made at the prehearing conference. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other evidence shall be allowed thereafter, either by prepared testimony, oral testimony, or exhibits, except as provided on Day 280 and on page A-34. Also, all workpapers shall be available on this date (*See* page A-35).

Day 177

Evidentiary hearings on initial showing completed.

Day 180

- 1 All rebuttal evidence except electric rate design shall have been distributed by Day 180. Rebuttal evidence shall refute the evidence of other parties and shall not reassert or reargue a party's direct evidence. No bulk or major updating amendments or recorded data shall be allowed in rebuttal evidence. Additional witnesses, cumulative testimony, and unproductive cross-examination shall be minimized.
- 2 Rebuttal evidence shall clearly reference by number the exhibit or transcript page of the direct evidence of the party rebutted.
- 3 When a witness has not testified on direct examination before Day 170, the ALJ may set a later date for distributing rebuttal evidence as to that witness.

Day 190

Rebuttal hearings begin to review the showing provided concerning the data described in Day 180. No more than five days of hearings shall be set for this review.

Day 190

Applicant may submit updated electric rate design exhibits (*see* page A-33 – A-34).

Day 194

Hearings are to be completed no later than this date, except for electric rate design hearings and hearings scheduled for Day 294. If oral argument before the Commission en banc is to be held, the ALJ shall announce the date and time.

Day 206

An exhibit comparing the DRA and utility final positions/numbers shall be jointly prepared by DRA and the utility then mailed by this date.

Day 234

Opening briefs shall be filed 28 days after the mailing of the comparison exhibit. The ALJ may outline specific issues to be briefed. Briefing of additional issues is optional.

Day 248

Reply Briefs may be filed 14 days after Opening Briefs.

Day 250

Staff electric rate design exhibits and testimony shall be served, consistent with the Rules of Practice and Procedure. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other staff evidence shall be allowed thereafter. Staff electric rate design workpapers shall be available within five days of this date (*see* page A-34).

Day 280

Applicant, staff, or any interested party may distribute in prepared testimony form, and serve on all parties, consistent with the Rules of Practice and Procedure, showings containing the most recent data for the other than electric rate design factors described in the Standard Updating Filing Requirements list on page A-35. This is the only updating which will be permitted.

Day 290

Parties other than staff and applicant shall submit their exhibits, prepared testimony, and evidence concerning electric rate design, and shall serve copies on all parties, consistent with the Rules of Practice and Procedure. These documents shall reflect the rulings and

agreements made at the prehearing conference. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other evidence shall be allowed thereafter, either by prepared testimony, oral testimony, or exhibits. All workpapers shall be available on this date (*see* page A-34).

Day 294

Abbreviated hearings begin to review the showing provided concerning the data described in Day 280. No more than five days of hearings shall be set for this review.

Day 298

Last day of evidentiary hearing except for electric rate design.

Day 311

Electric rate design hearings begin.

Day 322

Electric rate design hearings end.

Day 329

Electric rate design rebuttal exhibits shall be distributed by this day. *See* Day 180, Items 1 and 2 for requirements of rebuttal evidence.

Day 339

Electric rate design rebuttal hearings begin to review the showing provided concerning the data described in Day 329. No more than five days of hearings shall be set for this review.

Day 343

Electric rate design rebuttal hearings are to be completed no later than this date.

Day 344

ALJ proposed decision, except for electric rate design issues, but including marginal cost and revenue allocation issues to be filed and served on all parties.

Day 361

Electric rate design opening briefs shall be filed 18 days after the completion of the electric rate design rebuttal hearings. The ALJ may outline specific rate design issues to be briefed. Briefing of additional electric rate design issues is optional.

Day 364

Initial Comments on ALJ proposed decision to be filed and served on all parties.

Day 371

Reply comments on ALJ proposed decision to be filed and served on all parties.

Day 375

Electric rate design reply briefs may be filed 14 days after rate design opening briefs.

Day 384

A Final Commission decision is expected by this date (except for electric rate design issues). Any revenue increase/decrease will become effective by January 1 of the test year.

Day 459

ALJ proposed electric rate design decision to be filed and served on all parties.

Day 479

Initial Comments on ALJ proposed electric rate design decision to be filed and served on all parties.

Day 486

Reply comments on ALJ proposed electric rate design decision to be filed and served on all parties.

Day 502

A Final Commission decision on electric rate design is expected by this date.

RATE CASE PLAN
EDISON ONLYBefore Day - 60

The utility shall keep the Division of Ratepayer Advocates (DRA) advised of the progress of its preparation of the rate case and the expected date to serve the Notice of Intent (NOI) so that the DRA can designate a Project Manager at least 30 days in advance of service of the NOI on DRA. Within 7 days of service, staff counsel and project team are designated.

The NOI shall contain a brief statement of the amount of increase sought and the reasons for the proposed increase. An original and 7 copies of all documentation, prepared testimony, draft exhibits including complete explanations and summaries supporting the increase shall comply with the standard requirement list⁷ and 3 sets of applicant's workpapers shall be delivered to the DRA Project Manager. DRA notifies the utility when the NOI has been accepted by the staff, whereupon the utility serves the NOI, as required under Day – 60.

⁷ See page B-29.

Within seven (7) days of service of the NOI on DRA, the applicant and DRA should begin informal meetings wherein the applicants witnesses (or other persons intimately familiar with the workpapers) explain the workpapers to the DRA's witnesses. DRA witnesses should be familiar with applicant's workpapers prior to the informal meetings. These conferences shall be for explanation of the workpapers only, and we will not allow them to be used for the purpose of discovery. Appropriate discovery may of course continue concurrently, separate from the determination of completeness of the NOI.

In those instances where DRA has submitted data requests (called a Master Data Request) to the utility at least six months prior to the anticipated service of the NOI on DRA, the applicant shall make a reasonable effort to provide responses with the NOI.

Applicant shall furnish a copy of the NOI material to any interested party upon request.

The proposed test year shall be three years from the last adopted test year used by the Commission in setting applicant's existing rates. For example, if 1988 was the last adopted test year, the next test year to be submitted in an NOI would be 1991.

If applicant requests an attrition allowance, it shall include in its required supporting materials evidence supporting the requested attrition allowance. The NOI shall not be accepted until all of the above requirements are met.

Applicant will be notified by the DRA Project Manager of deficiencies in the NOI within 25 days of the date of service on DRA.

Although the final notice of deficiencies does not have to be sent to the utility until 25 days after service on DRA, DRA should identify and transmit each deficiency to the applicant as soon as possible. The acceptance of the NOI will be based upon whether the applicant has substantially complied with the requirements of the RCP. In the event that the utility disagrees with DRA's list of deficiencies, a written protest may be filed with the Executive Director. The protest should identify the items that the utility believes are not properly classified as deficiencies and state the reasons for its conclusion. The Executive Director's determination is final. Time consuming and/or inconsequential deficiencies may be corrected according to a schedule agreed upon by the DRA Project Manager and the applicant. DRA shall send a letter to the Chief ALJ, with a copy to the utility, affirming the date the NOI is accepted.

The NOI may contain material such as previously litigated issues on which the Commission has taken a position. This material must be clearly identified and contain a complete justification for any policy change. Showings on such material will be

presented at the end of the hearing schedule, unless otherwise scheduled by the ALJ with the advice and consent of the assigned Commissioner.

Day -60 (Accepted NOI is served)

Within five days after the NOI has been accepted by DRA, applicant shall serve a Notice of Availability of the NOI on all appearances in its last general rate case. Applicant's application, testimony, and workpapers shall be provided on request.

The utility shall send a letter to the Chief ALJ verifying that it has completed service of the NOI, along with a copy of the Notice of Availability and service list.

The application may be filed no sooner than 60 days after the NOI is accepted. The date the application is filed will determine Day O under the rate case plan.

The utility shall provide to the Commission's Public Advisor a proposed notice to customers in a format similar to that shown on page A-36.

Day 0

1. The application shall be filed and served in conformity with the Rules of Practice and Procedure except that two hard copies of the application and associated testimony shall be served on the Chief ALJ. The utility shall provide notification to customers, within 45 or 75 days as required by Rule 3.2(b)-(d).
2. The application shall include final exhibits (except electric unit marginal costs, marginal cost revenue responsibility, revenue allocation and rate design), prepared testimony, and other evidence, and shall be served on all parties to the last general rate case. The application, final exhibits, and all other evidence that is filed shall incorporate the changes, additions, and deletions required for acceptance of the NOI. No bulk or major updating amendments or recorded data to amend the final exhibits, prepared testimony, or other evidence shall be allowed, except as provided on page A-35 on Day 280, and on page A-29, item 3.
3. Applicant shall file a comparison exhibit showing changes that have occurred between the draft exhibits submitted with the NOI and the final exhibits submitted with the application. All the changes or revisions shown shall have been agreed to

by the DRA Project Manager in an informal conference before filing the application. Should the applicant and the DRA Project Manager disagree on what revisions are acceptable, the applicant may file a formal motion with the Docket Office for acceptance of its NOI changes. All the changes in figures between the NOI and the application shall be supported by workpapers which show the new figures and a reconciliation with the workpapers previously tendered.

4. Applicant shall deliver seven complete sets of the application and final exhibits plus three complete sets of the workpapers supporting the application and final exhibits to the DRA Project Manager. The workpapers shall incorporate all changes and additions that were necessary to gain acceptance of the NOI.
- 5 Applicant, staff, and interested parties shall send two hard copies of all exhibits, prepared testimony, and other evidence served after Day 0 to the ALJ. One copy shall be served on the Reporting Branch. Service of testimony and exhibits on parties shall be consistent with the requirements of the Rules of Practice and Procedure. Prepared testimony should not be filed in the Docket Office after Day 0; only briefs, comments on the ALJ proposed decision, and other pleadings are to be filed.
6. A copy of the decision in applicant's last general rate case shall be furnished by applicant upon written request.

Day 2

The ALJ in concurrence with the assigned Commissioner shall set the day, time, and place for the prehearing conference and shall inform applicant and all parties to the last general rate case. Also at this time, the ALJ shall set the day, time and place for public comment hearings. At the appropriate time, the utility shall give notice of the Public Comment Hearings, pursuant to Rule 13.1, using the format shown on page A-36.

Day 40

A prehearing conference is held:

1. To take appearances.
2. To raise and resolve any procedural matters.
3. To schedule hearings and specify areas of participation if known, and specify dates for testimony if necessary to expedite the hearing procedure.

Day 77

Except for electric unit marginal costs, marginal cost revenue responsibility, revenue allocation and rate design, DRA shall submit all exhibits, prepared testimony, and evidence and shall serve copies on all parties, consistent with the Rules of Practice and Procedure. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other DRA evidence shall be allowed thereafter, except as provided on page A-35 and Day 280.

DRA workpapers shall be available within five days of this date (*see* page A-34)

Day 90

Applicant shall file a complete electric unit application and serve supporting marginal costs, marginal cost revenue responsibility, revenue allocation and rate design exhibits and testimony. No bulk or major updating amendments or recorded data to amend the exhibits or prepared testimony shall be allowed thereafter, except as provided on page A-35 and Day 220.

Day 91-177

Public comment hearings will be held during this period. They may be held concurrently with evidentiary hearings if necessary to complete the hearings according to this plan.

Day 98

Evidentiary hearings on revenue requirement phase begin.

1. Hearings shall ordinarily be held not less than 15 days a month.
2. Where an agreement between applicant and DRA is disputed by other parties, those parties shall have the right to cross-examine applicant and DRA in that order. The examination will be closely controlled to prevent an undue consumption of time.

Day 122

Except for electric unit marginal costs, marginal cost revenue responsibility, revenue allocation and rate design, parties other than DRA and applicant shall submit their exhibits, prepared testimony, and evidence and shall serve copies on all parties, consistent with the Rules of Practice and Procedure. These documents shall reflect the rulings and agreements made at the prehearing conference. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other evidence shall be allowed thereafter, either by prepared testimony, oral testimony, or exhibits, except as provided on Day 280 and on page A-35. Also, all workpapers shall be available on this date (*See* page A-34).

Day 177

Evidentiary hearings on revenue requirement phase initial showing completed.

Day 180

1. All rebuttal evidence (except electric unit marginal costs, marginal cost revenue responsibility, revenue allocation and rate design) shall have been distributed by Day 180. Rebuttal evidence shall refute the evidence of other parties and shall not reassert or reargue a party's direct evidence. No bulk or major updating amendments or recorded data shall be allowed in rebuttal evidence. Additional witnesses, cumulative testimony, and unproductive cross-examination shall be minimized.
2. Rebuttal evidence shall clearly reference by number the exhibits or transcript page of the direct evidence of the party rebutted.
3. When a witness has not testified on direct examination before Day 170, the ALJ may set a later date for distributing rebuttal evidence as to that witness.

Day 190

Rebuttal hearings begin to review the showing provided concerning the data described in Day 180. No more than five days of hearings shall be set for this review.

Day 194

Hearings on revenue requirement phase are to be completed no later than this date, except for hearings scheduled for Day 294.

If oral argument before the Commission en banc is to be held, the ALJ shall announce the date and time.

Day 206

An exhibit comparing the DRA and utility final positions/numbers shall be jointly prepared by DRA and the utility then mailed by this date.

Day 220

Applicant may submit updated electric rate design phase exhibits (*see* page A-35).

Day 234

Opening briefs on revenue requirement phase shall be filed 28 days after the mailing of the comparison exhibit. The ALJ may outline specific issues to be briefed. Briefing of additional issues is optional.

Day 248

Reply Briefs on revenue requirement phase may be filed 14 days after Opening Briefs.

Day 280

DRA electric unit marginal cost, marginal cost revenue responsibility, revenue allocation and rate design exhibits and testimony shall be served, consistent with the Rules of Practice and Procedure. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other DRA evidence shall be allowed thereafter. DRA electric rate design phase workpapers shall be available within five days of this date (*see* page A-34).

Day 280

Applicant, DRA, or any interested party may distribute in prepared testimony form, and serve on all parties, consistent with the Rules of Practice and Procedure, showings containing the most recent data for the other than electric unit marginal costs, marginal cost revenue responsibility, revenue allocation and rate design factors described in the Standard Updating Filing Requirements list on page A-35. This is the only updating which will be permitted.

Day 294

Abbreviated hearings begin to review the showing provided concerning the data described in Day 280. No more than five days of hearings shall be set for this review.

Day 298

Last day of revenue requirement phase evidentiary hearings

Day 320

Parties other than DRA and applicant shall submit their exhibits, prepared testimony, and evidence concerning electric unit marginal cost, marginal cost revenue responsibility, revenue allocation and rate design, and shall serve copies on all parties, consistent with the Rules of Practice and Procedure. These documents shall reflect the rulings and agreements made at the prehearing conference. No bulk or major updating amendments or recorded data to amend the exhibits, prepared testimony, or other evidence shall be allowed thereafter, either by prepared testimony, oral testimony, or exhibits. All workpapers shall be available on this date (*see* page A-34).

Day 344

ALJ proposed decision on revenue requirement phase issues to be filed and served on all parties.

Day 353

Unit marginal cost, marginal cost revenue responsibility, revenue allocation and electric rate design hearings begin.

Day 364

Initial Comments on revenue requirement phase ALJ proposed decision to be filed and served on all parties.

Day 371

Reply comments on revenue requirement phase ALJ proposed decision to be filed and served on all parties.

Day 371

Unit marginal cost, marginal cost revenue responsibility, revenue allocation and electric rate design hearings end.

Day 384

A Final Commission decision on revenue requirement phase is expected by this date. Any revenue increase/decrease will become effective by January 1 of the test year.

Day 399

Electric rate design phase rebuttal exhibits. *See* Day 180, Items 1 and 2 for requirements of rebuttal evidence.

Day 409

Electric rate design phase rebuttal hearings begin to review the showing provided concerning the data described in Day 399.

Day 420

Electric rate design phase rebuttal hearings are to be completed no later than this date.

Day 439

Electric rate design phase opening briefs filed and served. The ALJ may outline specific rate design issues to be briefed. Briefing of additional electric rate design issues is optional.

Day 453

Electric rate design phase reply briefs filed and served 14 days after rate design opening briefs.

Day 539

Electric rate design phase ALJ proposed decision to be filed and served on all parties.

Day 559

Initial Comments on electric rate design phase ALJ proposed decision to be filed and served on all parties.

Day 566

Reply comments on electric rate design phase ALJ proposed decision to be filed and served on all parties.

Day 592

A Final Commission decision on electric rate design phase is expected by this date.

ELECTRIC RATE DESIGN WINDOWS⁸Day 0

Any party to the last general rate case may propose revisions to the adopted rate designs from July 20th to 25th⁹, November 20th to 25th¹⁰ or December 20th to 26th¹¹ prior to an attrition year. All proposals must be complete and include:

- 1 The proposed revisions
- 2 Full justification for the revisions
- 3 An explanation why the revision should be considered prior to the next general rate case
- 4 A reconciliation with the latest adopted revenue requirement and class allocations

The application shall be filed and served in conformity with the Rules of Practice and Procedure except that two hard copies of the application and associated testimony shall be served on the Chief ALJ. Workpapers shall be delivered by Day 0 to the DRA and utility project managers and any other party requesting them (*see* pages A-29 through A-34).

Day 30

Any party served may comment on the proposals within 30 days. The comments shall be limited to responding to the filings and shall not raise new proposals. Such comments shall be filed and served on all parties.

Day 44

Reply comments may be filed and served on all parties within 14 days.

Day 58

⁸ If Day falls on Saturday, Sunday or holiday, the next working day should be observed.

⁹ PP&L and SPPC will be in July.

¹⁰ PG&E and SDG&E will be in November.

¹¹ SCE will be in December.

The ALJ who heard the rate design proposals in the general rate case (or other ALJ as the Commission may assign) shall rule by Day 58 on the necessity to re-open the GRC for consideration of any or all rate design proposals.

Day 72

Hearings begin on re-opened rate design issues. No more than five days will be allowed.

Day 76

Last day of hearings.

Day 83

Concurrent briefs may be submitted.

Day 107

ALJ Draft decision filed and served on all parties.

Day 127

Initial comments on ALJ Draft filed and served.

Day 132

Reply comments on ALJ Draft filed and served.

Day 142

Final decision expected by this date with rates to become effective twelve months after the effective date of the last rate design revisions.

LIST OF APPLICABLE ENERGY UTILITIES

1. Pacific Gas and Electric Company
2. San Diego Gas & Electric Company
3. Southern California Edison Company
4. Southern California Gas Company

The smaller energy utilities listed below shall also file general rate applications every three years beginning with the test year noted after their name.

1. Southwest Gas Company (TY 1989)
2. Sierra Pacific Power Company (TY 1990)
3. Pacific Power and Light Company (TY 1991)

Smaller energy utility rate applications are processed on an expedited basis generally being completed within a year from the tendering of the NOI assuming adequate Commission staffing.

STANDARD REQUIREMENT LIST OF
DOCUMENTATION SUPPORTING AN NOI

1. Brief statement of amount, reason for, and summary supporting the increase.
2. When Cost of Capital issues are consolidated into a generic case for all utilities and are not part of the general rate case the utility shall use the most recently authorized rate of return in its calculations supporting the NOI. For the application the utility may include exhibits and testimony requesting a different cost of capital. However, the application must use the currently authorized cost of capital as a base case. This testimony may be updated and re-submitted at the appropriate filing time for the generic cost of capital case.
3. Revenues at present rates in the Results of Operations report shall include a base case derived directly from authorized tariffs in effect on or after May 1 prior to tendering the NOI and on or after October 1 prior to filing the application. The utility shall update the results of operations exhibit by January 15 to incorporate any and all tariff changes which become effective on January 1 following the filing of the application.
4. Draft exhibits and prepared testimony (similar to those presented in final application form) shall include the elements required under Rule 3.2, and other Rule provisions are not applicable.
5. Complete explanation of exhibits and special studies furnished.
6. Workpapers (3 sets) showing calculations and documentation to support the utility's draft exhibits and special studies. In order to meet the NOI criteria, workpapers must comply with all of the following:
 - A. Be arranged in an orderly sequence and be dated and initialed by the preparer. Where appropriate, each expense item should be broken down into labor, non-labor, and other.
 - B. Show the derivation of each individual estimate.
 1. List all of the assumptions necessary for the derivation of each individual estimate and explain the rationale why the assumptions were used.
 2. Show how each assumption was used in each estimate.

3. Where judgment is involved in setting an estimate level, explain why that particular level was adopted.
 4. Furnish base year historical and estimated data and subsequent years with evaluation of changes up to and including the test year.
 5. If there was no precise basis for certain estimates and the derivation was purely subjective, the workpapers should so state.
 6. State management's review criteria including the factors considered by the utility's management in approving various expenditures levels.
 7. Supporting material must have a clear tieback to base data from the stated expenditure.
 8. Justification for the methodology used to develop each estimate shall be included. However, the adequacy of the justification will not be considered an NOI deficiency.
- C. Be appropriately indexed and legible.
- D. Computer printouts must be accompanied by a detailed description of the program. The recorded data used should be identified, the various assumptions of variables used should be clearly stated, and any adopted Commission rules governing computer models adhered to.
- E. Show the development of all adjustments, including those associated with affiliates. If an adjustment is based on a Commission ruling, reference the Decision and provide a copy of the relevant portion of the ruling.
- F. Include at least five years of recorded data for each FERC account used in the development of the test year revenues and revenue requirement. Where subaccounts and/or other than FERC accounts are used to develop test year values, include at least five years of recorded data supporting those values also. All data for expenses shall be stated in recorded dollars and dollars inflation adjusted to a constant base year. The format shall be mutually agreed to by the utility and DRA project managers.
7. In addition to the requirements of 4 above, the following draft exhibits shall be submitted:

- A. All studies and information required to be submitted in the rate case by the Commission in prior rate decisions and subsequent policy statements or decisions.
- B. Recorded data, in results of operations format, shall be provided for at least the latest recorded year available at the time of tendering the NOI.

If the NOI contains material previously litigated but not allowed by the Commission it shall be clearly identified.

- C. When estimates are made by account or subaccount, those estimated amounts shall be included in the direct showing.
- D. When controlling affiliates provide guidelines or directions to the company's presentation, these shall be set forth in the direct showing or available in the workpapers.
- E. FOR ELECTRIC UTILITIES:¹²
 - 1. Cost allocation studies by classes of service.
 - 2. Marginal cost data in sufficient detail to allow the development of rates for each customer class.
 - 3. Demand Side Management cost effectiveness as identified in the Standard Practice Manual for Economic Evaluation of Demand Side Management Programs and consistent with the DSM reporting requirements manual. This shall include a full description, funding requirements, load impacts, and cost effectiveness of each program.
 - 4. The Utility's current Resource Plan.
 - 5. The NOI may be tendered without a final rate design proposal. However, the tendered NOI shall include the full amount of the requested revenue change, marginal costs, proposed class revenue allocations; and a simplified proposal for implementing the revenue change at the beginning of the test year.
 - 6. A complete rate design proposal shall be filed no later than Day 90. The proposal shall include:

¹² See pages A-18 through A-25 inclusive for exceptions applicable to Edison.

- a. A full and complete set of bill frequency analyses for each existing tariff schedule.
- b. Alternative rate designs based on current Commission policies.
- c. A computer tape with detailed customer bill frequency data compatible with the Commission's computer should be provided with the workpapers for the latest available recorded year. All billing determinants for each tariff schedule must be included. Adequate documentation should be provided to allow the staff to use this tape to develop alternative rate designs.

F. FOR GAS UTILITIES:

1. Demand Side Management cost effectiveness as identified in the Standard Practice Manual for Economic Evaluation of Demand Side Management Programs and consistent with the DSM reporting requirements manual. This shall include a full description, funding requirements, load impacts, and cost effectiveness of each program.
2. At the present time gas utilities marginal cost and rate design are litigated in the Annual Cost Allocation Proceeding (ACAP) per OII 86-06-005. Therefore, marginal cost data, alternative rate designs, and alternate fuel use will not be required exhibits in the general rate case filing unless the Commission moves the issues back into the general rate case. However, utilities should submit a proposed rate design to reflect the revenue requirement changes in its application.

STANDARD REQUIREMENT LIST OF DOCUMENTATION SUPPORTING
STAFF AND OTHER PARTIES EXHIBITS AND TESTIMONY

1. Complete explanation of exhibits and special studies submitted. If the exhibits contain material previously litigated but not allowed by the Commission, it shall be clearly identified.
2. Workpapers showing calculations and documentation to support the exhibit. Workpapers must:
 - A. Be arranged in an orderly sequence and be dated and initialed by the preparer. When appropriate, each expense item should be broken down into non-labor, labor, and other.
 - B. Be appropriately indexed and legible.
 - C. Computer output must be accompanied by description of the program. The input data used should be identified and the various assumptions of variables used should be clearly stated.
 - D. Show the derivation of each individual estimate.
 1. List all the assumptions necessary for the derivation of each individual estimate and explain the rationale why the assumptions were used.
 2. Show how each assumption was used in each estimate.
 3. Where judgment is involved in establishing an estimate level, explain why that particular level was recommended.
 4. Furnish or provide reference to base year historical and estimated data and subsequent years with evaluation of changes up to and including the test year.
 5. If there was no precise basis for certain estimates and the derivation was purely subjective, the workpapers should so state.
 6. Supporting material must have a clear tieback to base data from the stated expenditure.

3. A complete set of workpapers shall be delivered to the DRA and utility Project Managers and any other party requesting them, on the appropriate day noted in the Rate Case Plan.

STANDARD UPDATE EXHIBIT
FILING REQUIREMENTS LIST

1. Other than electric rate design:

Any update testimony or exhibits filed by applicant, staff, or interested party shall be limited to:

- A. Known changes in cost of labor based on contract negotiations completed since the tender of the NOI or known changes that result from updated data using the same indexes used in the original presentation during hearings.
- B. Changes in non-labor escalation factors based on the same indexes the party used in its original presentation during hearings.
- C. Known changes due to governmental action such as changes in tax rates, postage rates, or assessed valuation.

The update exhibit may include decreases as well as increases in the above categories. All testimony and exhibits for updating shall be in fully prepared form and served on all appearances on Day 280 as indicated in the rate case plan.

2. Electric Rate Design:

Applicant may update electric rate design testimony or exhibits. Any testimony and exhibits for updating shall be in fully prepared form and served on all appearances on Day 190 as indicated in the rate case plan.

Applicant shall meet with staff at least 30 days prior to any rate design update to discuss and explain its update.

(SAMPLE)
NOTICE

The California Public Utilities Commission will hold public comment hearings as listed below on the request of (utility) to increase its rates by \$_____ per year. If the entire amount is approved by the Commission, the impact on customers will be as follows:

(Brief description of which rates the utility proposes to raise or lower and the \$ and % amount. The effect on the average residential customer's monthly bill shall be shown. The effect on rates of all customer classes shall be shown. A statement of the reasons for the rate increase shall also be included.)

The hearing dates listed below give you an opportunity to express your views to the Commission. You may submit written comments or make a brief oral statement at the hearing.

DATES AND LOCATIONS OF PUBLIC COMMENT
HEARINGS IN APPLICATION _____ BEFORE
THE CALIFORNIA PUBLIC UTILITIES COMMISSION.

(List dates, locations, and times of specifically designated public comment hearings.)

The Commission welcomes your comments. If you cannot attend these hearings, you may submit written comments to the Commission at one of the addresses listed below. Simply state that you are writing about Application _____ of (utility).

A copy of (utility's) application may be inspected in its local business office or at its headquarters.

Notes:

1. The above notice is only a sample format. A utility may suggest other formats that would better communicate the required information.
2. All notices must be submitted to the Commission's Public Advisor's Office for review at least five working days prior to the printer's deadline.