



# Water Rate Case Process

Docket No. UW 198 – Roats Water  
System, Inc

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# Common Questions



**Q: Will the utility's requested rate increase go into effect?**

A: No. The rate increase is suspended pending review by the Commission. The ultimate rate increase can be no higher than what the Company requests and is often lower.

**Q: When will new rates become effective?**

A: In most cases, a decision is reached **6-9 months** after the utility's filing.

**Q: Will the rate increase be reviewed before it becomes effective?**

A: YES!

# Rate Case - Who's Involved?



**The Commission**



**ALJ**

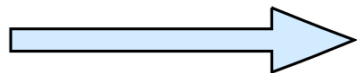


Ensures that the proceedings are fair, impartial, and orderly.

**Administrative Law Judge**

- Delegated authority
- Presides over hearings
- Makes evidentiary rulings
- Supervises discovery
- Decides procedural matters
- Issue protective orders
- Decides Petitions to Intervene

**Parties**



- Burden of Proof

- Review, analysis, discovery
- Represented by DOJ
- Support the public interest

- Petition to Intervene

# Flowchart – Water Rate Case



## ➤ 1. UTILITY FILING

Utility files application, direct testimony, and tariffs to PUC

## ➤ 2. NOTIFICATION

Utility notifies customers within 15 days of filing

## ➤ 3. TARIFF SUSPENSION

Commission orders tariffs suspended to allow time to review the utility's proposal (typically 6 to 9 months)

## ➤ 4. PUBLIC COMMENT HEARING

Town Hall forum to ask questions, share information, voice concerns/opinions

## ➤ 5. PREHEARING CONFERENCE

Adopt schedule, Receive petitions to intervene, Identify issues, Identify Parties, Create service list

## ➤ 6. DISCOVERY

Data Requests/Data Responses

## ➤ 7. SETTLEMENT CONFERENCE

Staff presents its recommended case to utility and intervenors who attempt to reach agreement on as many issues as possible

## ➤ 8. WRITTEN TESTIMONY

Staff and intervenors responding to utility's direct testimony

## ➤ 9. REPLY AND REBUTTAL TESTIMONY

Utility and all party responses as Necessary

## ➤ 10. EVIDENTIARY HEARING

Enter pre-filed testimony into record. Cross-examination of witnesses. Identify issues to be briefed. ALJ briefing instructions.

## ➤ 11. WRITTEN BRIEFS

Briefs are submitted as scheduled

## ➤ 12. COMMISSION DECISION

Commission issues order on requested rates

# PUC Staff's Review



- Operating Expenses
  - E.g., Labor, repairs, utilities, management, insurance, etc.
- Other Revenue Deductions
  - Income taxes, property taxes, depreciation, etc.
- Assets
  - Must be prudent and necessary
- Capital Costs
  - Amount and cost of debt and equity
- Distribution of Revenue
  - Rate spread, rate design
- Utility-Specific Matters
  - Affiliate transactions, major service issues, capital projects, etc.



# Intervenor – Party to the Case



- Any person may file a Petition to Intervene
  - Usually a customer or customers' representative
- Active participation in case
  - Participate in settlement negotiations, discovery, sponsor testimony, etc.
  - May not “unreasonably broaden the issues, burden the record, or delay the proceedings.”
  - Attorney representation not required
- How to Participate
  - Contact PUC Administrative Hearings Division
    - [puc.hearings@puc.oregon.gov](mailto:puc.hearings@puc.oregon.gov) or (503) 378-6678
  - Petition form available on PUC website: [oregon.gov/puc](http://oregon.gov/puc)
    - Search “Petition to Intervene”

# Non-Party Status



- Interested Person
  - Receives e-mail notification of filings in the case
  - How to Participate: Contact PUC Administrative Hearings Division
    - [puc.hearings@puc.oregon.gov](mailto:puc.hearings@puc.oregon.gov) or (503) 378-6678
    - Reference Docket Number
- Review filings on PUC website: [oregon.gov/puc](http://oregon.gov/puc)

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# Public Comments



- Customers may voice concerns/comments
  - In person at Public Comment Hearing
  - By email: [puc.publiccomments@puc.oregon.gov](mailto:puc.publiccomments@puc.oregon.gov)
  - By mail: PO Box 1088  
Salem, OR 97308-1088
- PUC Consumer Services
  - Email: [puc.consumer@puc.oregon.gov](mailto:puc.consumer@puc.oregon.gov)
  - Phone: (503) 378-6600
  - Toll-free: (800) 522-2404
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