

ORDER NO. 03-369

ENTERED JUN 13 2003

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**BEFORE THE PUBLIC UTILITY COMMISSION**

**OF OREGON**

AR 457

In the Matter of a Rulemaking to Amend	)	
Divisions 011, 021, 034 and 038 to update	)	ORDER
the PUC's mailing address	)	
	)	

DISPOSITION: Rules Adopted

At its public meeting on February 4, 2003, the Public Utility Commission (Commission) initiated this rulemaking proceeding. Notice of the proposed rules was published in the Secretary of State's Bulletin on March 1, 2003. The deadline for comments was March 21, 2003. No comments were received.

Because PUC and ODOT Motor Carrier share the same street address, PUC has established a separate mailing address to ensure confidentiality of mail intended for the PUC.

Since the implementation of zip-plus-four address, the Postal Service has combined PUC and ODOT mail, increasing the incidence of confidential PUC mail being opened by ODOT. To reduce this problem, PUC rented a new post office box.

Several OARs currently cite the Commission's street address as our mailing address. They should be updated, as shown in the attachment. Revisions to Division 036 will be included in docket AR 461 and revision to Division 032 was included in docket AR 442.

**ORDER**

IT IS ORDERED that:

1. The modifications to the rules as set forth in Appendix A, attached to and made part of this order, are adopted.
2. The amended rule shall become effective upon filing with the Secretary of State.

Made, entered, and effective \_\_\_\_\_.

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**Roy Hemmingway**  
Chairman

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**Lee Beyer**  
Commissioner

A party may request rehearing or reconsideration of this order pursuant to ORS 756.561. A request for rehearing or reconsideration must be filed with the Commission within 60 days of the date of service of this order. The request must comply with the requirements in OAR 860-014-0095. A copy of any such request must also be served on each party to the proceeding as provided by OAR 860-013-0070(2). A party may appeal this order to a court pursuant to applicable law.

**860-011-0010**

**Address for Mailing or Filing; Status Inquiries**

(1) The Commission's address is: ~~Public Utility Commission of Oregon, 550 Capitol Street NE Suite 215, Salem, Oregon 97301-2551~~ available on the Commission's website or by calling the Commission.

(2) All documents of any kind related to docketed Commission proceedings shall be filed at the address in section (1) of this rule. Unless otherwise provided by Commission instructions to parties, documents and facsimiles should be directed to the Administrative Hearings Division and should bear the number, if determined, for the docket in which they are to be filed. Inquiries regarding docketed proceedings should be directed to the Administrative Hearings Division, Support Unit.

(3) The original document and all copies required by the Commission rules shall be filed in the same envelope or container. A party making simultaneous filings in more than one docket shall enclose the documents for each docket in a separate envelope or container.

Stat. Auth.: ORS Ch. 183, 756, 757 & 759

Stats. Implemented: ORS 756.040 & 756.500 through 756.575

Hist.: Adopted by order entered & ef. 3-10-13 (not filed with Secretary of State); PUC 1, f. & ef. 8-16-39 (Order No. 6798); PUC 18, f. 1-21-55, ef. 9-1-54 (Order No. 33203); PUC 120, f. 10-26-62, ef. 11-15-62 (Order No. 38811); PUC 135, f. 5-9-66, ef. 5-15-66 (Order No. 42332); PUC 148, f. 7-29-68, ef. 9-1-68 (Order No. 44783); PUC 155, f. 7-3-73, ef. 7-15-73 (Order No. 73-436); Renumbered from 860-11-005; PUC 179, f. 3-18-77, ef. 4-1-77 (Order No. 77-163); PUC 1-1985, f. & ef. 2-1-85 (Order No. 85-075); PUC 10-1994, f. & ef. 7-21-94 (Order No. 94-1127); PUC 15-1997, f. & ef. 11-20-97 (Order No. 97-443); PUC 8-1999, f. & ef. 10-18-99 (Order No. 99-632)

**860-021-0015**

**Dispute Resolution**

(1) When a dispute occurs between a customer or applicant and a utility about any bill, charge, or service, the utility shall thoroughly investigate the matter and promptly report the results of its investigation to the customer or applicant. Each utility shall prepare a written record showing the name and address of the customer or applicant involved, the date and character of the dispute, and the disposition of the matter. The utility shall retain records of the dispute pursuant to OAR 860-028-0010.

(2) The utility shall inform the customer or applicant of the right to supervisory review of any dispute, including but not limited to, establishment of credit and termination of service. If a dispute is not resolved, the utility shall notify the customer or applicant of the Commission's dispute resolution procedure and its toll-free telephone number.

(3) A customer or applicant may request the Commission's assistance in resolving the dispute by contacting the Commission's Consumer Services Division ~~at 1-800-522-2404; TDD 1-800-648-3458; or at 550 Capitol Street NE Suite 215, Salem, Oregon 97301-2551~~. The Commission shall notify the utility upon receipt of such a request.

(4) The Commission's Consumer Services Division shall assist the complainant and the utility in an effort to reach an informal resolution of the dispute.

(5) If a registered dispute cannot be resolved informally, the Commission's Consumer Services Division shall advise the complainant of the right to file a formal written complaint with the Commission. The complaint shall state the facts of the dispute and the relief requested. The utility shall answer the complaint within 15 days of service of the complaint. The matter shall then be set for expedited hearing. A hearing may be held on less than ten days' notice when good cause is shown.

(6) Pending resolution of the dispute, the complainant's obligation to pay undisputed amounts continues.

(7) A customer or applicant who has a registered dispute or formal complaint pending with the Commission shall be entitled to continued or restored service provided:

(a) Service was not terminated for theft of service or failure to establish credit;

(b) A bona fide dispute exists in which the facts asserted by the customer or applicant entitle the customer or applicant to service;

(c) When termination is based on nonpayment, the customer or applicant makes adequate arrangement to avoid future loss to the utility, such as prepaying estimated monthly utility charges; and

(d) The customer or applicant diligently pursues conflict resolution under the Commission's rules.

(8) If the conditions in section (7) of this rule are not satisfied, the utility has no obligation to provide continued service. A utility discontinuing service because of a failure to meet the conditions of subsections (7)(c) or (7)(d) of this rule shall give the customer five-day notice served in the same manner as provided by OAR 860-021-0405 or OAR 860-021-0505, whichever applies, except the notice need only describe the defect in performance, the date and time when utility service will terminate, and the toll-free number of the Commission's Consumer Services Division. In deciding whether the conditions are met, the utility shall consult with the Commission's Consumer Services Division. A customer or applicant who has filed a formal complaint, the utility, or the Commission's Consumer Services Division may ask the Commission for a hearing to decide if the conditions are met. Unless extraordinary circumstances exist, the hearing will be conducted by telephone conference within three business days from the date requested. Notice of hearing will be given to the customer, the utility, and the Commission's Consumer Services Division at least 12 hours before the date and time of the hearing. Notice is effective when given in person, by telephone, or in writing delivered to the

party's last known address. Mailed notice is effective two days after deposit in the U.S. mail, excluding Sundays and holidays.

Stat. Auth.: ORS Ch. 183, 756, 757 & 759

Stats. Implemented: ORS 756.040, 756.500 & 756.512

Hist.: PUC 164, f. 4-18-74. ef. 5-11-74 (Order No. 74-307); PUC 5-1983, f. 5-31-83, ef. 6-1-83 (Order No. 83-284); PUC 12-1983, f. & ef. 10-7-83 (Order No. 83-623); PUC 1-1985, f. & ef. 2-1-85 (Order No. 85-075); PUC 4-1985, f. & ef. 4-22-85 (Order No. 85-350); PUC 5-1987, f. & ef. 7-2-87 (Order No. 87-723); PUC 16-1990, f. 9-28-90, cert. ef. 10-1-90 (Order No. 90-1105); PUC 11-1998, f. & ef. 5-7-98 (Order No. 98-188); PUC 8-1999, f. & ef. 10-18-99 (Order No. 99-632)

## **860-034-0060**

### **Dispute Resolution**

(1) When a dispute occurs between a customer or applicant and a small telecommunications utility about any bill, charge, or service, the utility shall thoroughly investigate the matter and promptly report the results of its investigation to the customer or applicant. Each small telecommunications utility shall prepare a written record showing the name and address of the customer or applicant involved, the date and character of the dispute, and the disposition of the matter. The small telecommunications utility shall retain records of the dispute pursuant to OAR 860-034-0580.

(2) The small telecommunications utility shall inform the customer or applicant of the right to supervisory review of any dispute, including but not limited to, establishment of credit and termination of service. If a dispute is not resolved, the small telecommunications utility shall notify the customer or applicant of the Commission's dispute resolution procedure and its toll-free telephone number.

(3) A customer or applicant may request the Commission's assistance in resolving the dispute by contacting the Commission's Consumer Services Division ~~at 1-800-522-2404; TDD 1-800-648-3458; or at 550 Capitol Street NE Suite 215, Salem, Oregon 97301-2551~~. The Commission shall notify the small telecommunications utility upon receipt of such a request.

(4) The Commission's Consumer Services Division shall assist the complainant and the small telecommunications utility in an effort to reach an informal resolution of the dispute.

(5) If a registered dispute cannot be resolved informally, the Commission's Consumer Services Division shall advise the complainant of the right to file a formal written complaint with the Commission. The complaint shall state the facts of the dispute and the relief requested. The small telecommunications utility shall answer the complaint within 15 days of service of the complaint. The matter shall then be set for expedited hearing. A hearing may be held on less than ten days' notice when good cause is shown.

(6) Pending resolution of the dispute, the complainant's obligation to pay undisputed amounts continues.

(7) A customer or applicant who has a registered dispute or formal complaint pending with the Commission shall be entitled to continued or restored service provided:

(a) Service was not terminated for theft of service or failure to establish credit;

(b) A bona fide dispute exists in which the facts asserted by the customer or applicant entitle the customer or applicant to service;

(c) When termination is based on nonpayment, the customer or applicant makes adequate arrangement to avoid future loss to the small telecommunications utility, such as prepaying estimated monthly utility charges; and

(d) The customer or applicant diligently pursues conflict resolution under the Commission's rules.

(8) If the conditions in section (7) of this rule are not satisfied, the small telecommunications utility has no obligation to provide continued service. A small telecommunications utility discontinuing service because of a failure to meet the conditions of subsections (7)(c) or (7)(d) of this rule shall give the customer five-day notice served in the same manner as provided by OAR 860-034-0260 except the notice need only describe the defect in performance, the date and time after which utility service will terminate, and the toll-free number of the Commission's Consumer Services Division. In deciding whether the conditions are met, the small telecommunications utility shall consult with the Commission's Consumer Services Division. A customer or applicant who has filed a formal complaint, the small telecommunications utility, or the Commission's Consumer Services Division may ask the Commission for a hearing to decide if the conditions are met. Unless extraordinary circumstances exist, the hearing will be conducted by telephone conference within three business days from the date requested. Notice of hearing will be given to the customer, the small telecommunications utility, and the Commission's Consumer Services Division at least 12 hours before the date and time of the hearing. Notice is effective when given in person, by telephone, or in writing delivered to the party's last known address. Mailed notice is effective two days after deposit in the U.S. mail, excluding Sundays and holidays.

Stat. Auth.: ORS Ch. 183, 756 & 759

Stats. Implemented: ORS 756.040, 759.045 & 759.500

Hist.: PUC 6-1993, f. & ef. 2-19-93 (Order No. 93-185); PUC 12-1998, f. & ef. 5-7-98 (Order No. 98-188); PUC 8-1999, f. & ef. 10-18-99 (Order No. 99-632); PUC 15-2001, f. & cert. ef. 6-21-01 (Order No. 01-488)

### **860-034-0310**

#### **Announcement of Rate Increases by Small Telecommunications Utilities**

(1) A small telecommunications utility which increases any rate for intrastate telecommunications services shall notify its affected customers at least 45 days before the proposed effective date of the increase. A copy of such notification shall at the same time be provided to the Commission.

(2) The small telecommunications utility shall notify its customers by:

(a) Inserting an announcement in the small telecommunications utility's regular billing to its customers; or

(b) Mailing an announcement to each customer.

(3) The announcement shall contain the following information:

(a) The list of services subject to increase, current and proposed rates, and amount and percentage of increase for each service;

(b) The reasons for the proposed rate increase;

(c) The effective date of the proposed rate increase;

**(d) The Commission's toll-free telephone number and address;** and

**(de)** The following statement:

"Customers may petition the Public Utility Commission of Oregon to investigate the rate increase. The Commission will investigate the rate increase if it receives petitions signed by customers (10 percent of customers or 500, whichever is the lesser), on or before (ten days before the proposed effective date). If the Commission does not receive sufficient petitions by (ten days before the proposed effective date), the proposed rates will become effective on (the proposed effective date) without Commission review. Petitions should be sent to: ~~Public Utility the Commission's of Oregon, Consumer Services Division, 550 Capitol Street NE Suite 215, Salem, Oregon 97301-2551. The Commission's address is: Public Utility Commission of Oregon, 550 Capitol Street NE Suite 215, Salem, Oregon 97301-2551., or call 1-800-522-2404 or TDD 1-800-648-3458.~~ The Company will provide a current copy of the local exchange directory and its service territory map within ten days of a request from any customer."

Stat. Auth.: ORS Ch. 183, 756 & 759

Stat. Implemented: ORS 759.045

Hist.: PUC 6-1993, f. & ef. 2-19-93 (Order No. 93-185); PUC 12-1998, f. & ef. 5-7-98 (Order No. 98-188); PUC 3-1999, f. & ef. 8-10-99 (Order No. 99-468); PUC 8-1999, f. & ef. 10-18-99 (Order No. 99-632); PUC 15-2001, f. & cert. ef. 6-21-01 (Order No. 01-488)

### **860-038-0420**

#### **Electricity Service Supplier Consumer Protection**

(1) All advertising and marketing activities by electricity service suppliers must be truthful, not misleading, and in compliance with Oregon's Unfair Trade Practices Act (ORS 646.605 through 646.656).

(2) No person or entity may offer to sell electricity services available pursuant to direct access unless it has been certified by the Commission as an ESS.

(3) Sections (3) through (6) of this rule do not apply when a consumer is changing suppliers. Sections (3) through (6) apply when an ESS is discontinuing service to a consumer. An ESS must give its customers at least 10 business days written notice, as prescribed in section (5) of this rule, before the ESS may discontinue service.

(4) The written notice of intent to discontinue service to the ESS customer must be printed in boldface type and must state in easy to understand language:

(a) The name and contact information of the ESS and the service location intended to be discontinued;

(b) The reasons for the proposed discontinuance;

(c) The earliest date for discontinuance; and

(d) The amount necessary to be paid to avoid discontinuance of services, if applicable.

(5) The ESS must serve the notice of discontinuance in person or send it by first class mail to the last known address of the ESS customer. Service is complete on the date of personal delivery or, if service is by U. S. mail, on the day after the U. S. Postal Service postmark or the day after the date of postage metering.

(6) Not less than 10 business days prior to discontinuance of service to an ESS customer, the ESS must notify the serving electric company, by mutually acceptable means, that the ESS will no longer be supplying energy to that ESS customer. If an ESS and a consumer waive the 10-day notice, pursuant to section (8) of this rule, the ESS must still notify the electric company of its intent to discontinue a consumer's service as soon as it notifies the consumer that service is to be discontinued. The written notice must contain the following:

(a) Name and contact information of the ESS that is discontinuing service, the consumer's name, account number, service location and, if applicable, the electric company's unique location identifier;

(b) Earliest date for discontinuance; and

(c) Necessary information applicable to the transfer of the consumer's service.

(7) This section of this rule applies to any alleged violation of the rules in Division 038 applicable to electricity service suppliers.

(a) When a dispute occurs between an ESS and its consumer about any bill, charge, or service, the electricity service supplier must acknowledge the dispute with a response to the consumer within five calendar days. The ESS must thoroughly investigate the matter and report the results of its investigation to the ESS consumer within 15 calendar days. If the ESS is unable to resolve the matter with its consumer within 15 calendar days, the ESS must advise the consumer of the option to request internal supervisory review of unregulated disputes and to request the Commission's assistance in resolving a dispute within the Commission's jurisdiction;

(b) An ESS customer may request the Commission's assistance in resolving a dispute within the Commission's jurisdiction by contacting the Commission's Consumer Services Division

~~at 1-800-522-2404; TDD 1-800-648-3458; or at 550 Capitol Street NE, Suite 215, Salem, Oregon 97301-2551.~~ The Commission must notify the electricity service supplier upon receipt of such a request;

(c) The Commission's Consumer Services Division will assist the complainant and the electricity service supplier in an effort to reach an informal resolution of the dispute. The ESS must provide the Commission with the necessary information to assist in resolving the dispute. The electricity service supplier must answer the registered ESS dispute within 15 calendar days of service of the complaint;

(d) If a registered ESS dispute cannot be resolved informally, the Commission's Consumer Services Division will advise the complainant of the right to file a formal written complaint with the Commission. The complaint must state the facts of the dispute and the relief requested. The electricity service supplier must answer the complaint within 15 calendar days of service of the complaint. The matter will then be set for expedited hearing. A hearing may be held on less than 10 calendar days' notice when good cause is shown.

(8) Within the terms of a written contract, a consumer and an ESS may agree to arrangements other than those specified in sections (3), (4), (5), and (6) of this rule, if the following requirements are met:

(a) The contract must include an exact copy of the paragraphs in subsection (8)(b) of this rule. The paragraphs must be in bold type of at least 12-font size. Immediately following the paragraphs, there must be a line for the consumer's signature and the date.

(b) The agreement must contain the following notice:  
**IF YOU SIGN THIS AGREEMENT, YOU MAY GIVE UP CERTAIN RIGHTS YOU HAVE UNDER OAR 860-038-0420(3) through (6). These rules state:**

**The ESS must insert the complete text of OAR 860-038-0420 (3) through (6). THIS MAY AFFECT YOUR ABILITY TO ARRANGE FOR OTHER ENERGY SERVICE.**

Stat. Auth.: ORS Ch. 183, 756 & 757

Stats. Implemented: ORS 756.040 & 757.600 through 757.667

Hist.: PUC 17-2000, f. & cert. ef. 9-29-00 (Order No. 00-596); PUC 21-2001 (Temp), f. & cert. ef. 9-11-01 (Order No. 01-788); PUC 11-2002, f. & ef. 3-8-02 (02-135)

## **860-038-0445**

### **Coordination of Supplier Changes and Billing**

(1) This rule applies to electricity service suppliers and to electric companies providing service options to nonresidential consumers. For purposes of this rule, "supplier" means an electricity service supplier or electric company.

(2) An ESS may not provide service to a consumer without a written contract or electronic authorization between the customer and the ESS and the submission by the ESS of a Direct Access Service Request (DASR) to the electric company to switch such customer from its

then-current supplier to the ESS. The DASR must contain all information required by the electric company's direct access tariff to effect the switching of such customer's supplier.

(3) An ESS or electric company shall not submit a DASR unless it possesses written or electronic authorization from the consumer.

(4) The ESS must maintain records sufficient to demonstrate compliance with this rule including a copy of the contract authorizing the change in supplier for a period of one year from the date the customer authorized a change in electric service to such supplier. Upon request, the supplier must make such records available to the electric company or the Commission.

(5) An acceptable DASR must conform to industry electronic data interchange protocols.

(6) The written contract or electronic authorization must contain, at a minimum, the following information:

(a) The consumer's name, current account number, and an electric company's unique location identifier, if available;

(b) The service address and the consumer's mailing address;

(c) The type of service being purchased;

(d) The name of the new supplier that will be supplying the service;

(e) The effective date and time of change of supplier;

(f) The consumer's billing preference (electric company only, electricity service supplier only, or both);

(g) Identification and explanation of any nonrecurring charges associated with the change of supplier;

(h) A statement to the effect that the consumer is authorized to make the change and authorizes the change to the new supplier; and

(i) The consumer's signature or electronic authorization and title.

(7) Any change of supplier without an acceptable DASR conforming to the requirements of section (5) of this rule and a written contract or electronic authorization conforming to the requirements of section (6) of this rule shall constitute a violation of this rule.

(8) An ESS must obtain acceptance of its DASR at least 10 business days prior to the effective date of the change.

(9) An electric company must accept or reject a DASR and provide notification to the ESS, within three business days of submission. Upon acceptance of a DASR, the electric company must notify the current supplier of the change within three business days.

(10) If the change date of suppliers does not coincide with the serving electric company's established meter reading schedule, the new supplier will pay the applicable tariffed charges to the electric company necessary to accommodate an off-cycle meter reading.

(11) Each supplier must supply, upon request from a consumer, a copy of the service description and rates applicable to the type or types of service furnished to the consumer.

(12) A consumer will receive a consolidated bill from the electric company unless the consumer chooses one of the following:

(a) A separate bill from every individual supplier that provides products or services to the consumer; or

(b) A consolidated bill from an ESS.

(13) An electric company and the ESS must cooperate to ensure the exchange of information in a timely manner necessary for billing purposes. The electric company or the ESS may request the Commission's assistance in resolving a dispute within the Commission's jurisdiction by contacting the Commission's Consumer Services Division ~~at 1-800-522-2404; TDD 1-800-648-3458; or at 550 Capitol Street NE, Suite 215, Salem, Oregon 97301-2551.~~ The Commission will notify the appropriate company upon receipt of such a request. The appropriate company must answer the registered dispute within 15 calendar days of service of the complaint.

(14) If the consumer receives a consolidated billing from an electric company, the ESS must provide the information to the electric company required in OAR 860-038-0300, and the electric company must provide that information on the bill.

(15) If the consumer chooses a consolidated billing by the ESS, the electric company must provide the information to the ESS required in OAR 860-038-0300 and the ESS must provide that information on the bill.

(16) An electric company and ESS must cooperate to resolve any consumer complaint.

(17) An electric company and the ESS must exchange all necessary information to facilitate the billing of consumers and the exchange of funds using industry electronic data interchange protocols. If there is a dispute regarding the information exchange, the ESS or the electric company may appeal to the Commission for assistance in resolving the dispute.

(18) The party contracting with the electric company for the delivery of services shall be obligated to pay the electric company's transmission and distribution charges in accordance with the electric company's applicable tariffs. When the ESS is the contracting party, the direct access customer's failure to pay the ESS the full amount of ESS charges shall not relieve the ESS of its obligation to the electric company for delivery services in accordance with the electric company's direct access tariff. The electric company shall have access to the security posted by the ESS in accordance with the terms of the electric company's direct access tariff in the event the ESS defaults in the payment of electric company charges to the ESS.

(19) Absent a contract with the electric company described in section (18) of this rule, when payment, including amounts for regulated charges, is made directly to an electricity service supplier or electric company, the payment must be allocated as follows:

(a) As directed by the nonresidential consumer; or

(b) Absent specific direction from the nonresidential consumer, in the following sequence:

(A) Past due regulated;

(B) Current regulated;

(C) Past due unregulated charges in proportion to the outstanding balance; and

(D) Current unregulated charges in proportion to the outstanding balance; and

(c) If a contractual agreement between an ESS customer and an electricity service supplier dictates payment allocations other than those identified in section (b) of this rule, the electricity service supplier will provide notification with the bill that failure to pay the regulated charges can result in disconnection of service.

(20) Services subject to the jurisdiction of the Commission may not be discontinued, disconnected, or placed in jeopardy because of nonpayment of unregulated charges.

Stat. Auth.: ORS Ch. 183, 756 & 757

Stats. Implemented: ORS 756.040 & 757.600 through 757.667

Hist.: PUC 17-2000, f. & cert. ef. 9-29-00 (Order No. 00-596)