

Overview of the Tariff Filing (TF) Review Process

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This worksheet was prepared by Board staff but is not specifically reviewed or approved by the Board, NARUC or USAID. The statements are summary in nature and the information may not always be accurate.

In order to understand most of the material found in Tariff filings, the analyst will need to have knowledge of finance and accounting, and should be proficient in grammar and writing. The analyst should also have knowledge about the industry, terminology used by people in the industry, and knowledge of various tools used in the energy industry. Below are some steps in processing the filing:

1. Find and view the filing from the Board's EFS system.
2. Review and understand the reason for the filing.
3. Check dates filed and proposed and note the 20-day deadline for objections and the 30-day deadline for approval or docketing. The deadlines are applicable for most tariff filings, but not all.
4. Compare the proposed tariff pages to the current tariff pages and review the pages for compliance with statute and Board rules.
5. Consult with other Board sections, if necessary, depending on the subject matter of the filing.
6. If the review leads to a recommendation to approve:
 - a. Wait 20 days for possible objections to the filing.
 - b. Write a memo summarizing the filing, detailing how the filing complies with the relevant statutes and Board rules, and stating the analyst's recommendation to approve the filing.
 - c. Draft an approval letter for the filing or, if Board action is required, forward the memo to General Counsel to prepare an order for Board signature.
7. If the review indicates a need for further investigation:
 - a. Confer with other analysts to see if they agree.
 - b. Contact the utility to see if there is an explanation.
 - i. The utility may file revisions to the tariff that will eliminate the concerns. Revisions are reviewed in the same way as initial filings.
 - ii. If the utility disagrees that a problem exists or is unable to make changes suggested by the analyst, it may be necessary to docket the filing as a contested case and establish a procedural schedule.
 - c. A memo may be required in order to alert the Board there is a problem and to docket the filing. Docketing the filing suspends implementation of the tariff.
 - d. Once the investigation is complete, staff will draft another memo and order recommending that the tariff be approved or denied.
8. Approved tariff pages are inserted into the utility's current tariff book which is maintained by the IUB. Pages being replaced are marked as superseded and filed into the superseded tariff book which serves as a historical reference tool.

Internal processes continue to evolve. The checklist below documents the current process:

IUB Tariff Process Checklist

Docket No. _____
Company _____
Subject _____

Filed		-
20 Days	-	-
30 days	-	-
Effective		-
Objections - after 20 days		Y / N

Tariff Sheet

1. Print copy of tariff sheet for tariff book
2. Check tariff sheet numbering
3. Stamp effective date on tariff sheet
4. Upload tariff sheet to electronic tariff book
5. Put tariff sheet in current paper tariff book / supersede pages
6. REC (non-rate regulated) complete steps 1, 2, & 5

Complete

Date

PGA Filings

1. Update monthly PGA rate spreadsheet
2. Put paper copy of filing in PGA book

Memo & Approval Letter Process

1. Draft memo
2. Draft approval letter
3. If REC (non-rate regulated) tariff, use language below in memo & letter
4. Email memo and approval letter to manager
5. Board review requested by (COB - 2 business days)
6. Indicate COB Date
7. Indicate Approval Letter date
8. Manager forwards to Board w/ requested COB date
9. Upload memo & letter to electronic filing system (EFS)
10. Put paper copy of memo in Memo Book

	Memo Date
	Letter Date
	COB Date
Y / N	

Memo & Order Process

1. Draft memo
2. Print, sign and submit to manager
3. Email copy of memo to attorney
4. Date order issued
5. Upload memo & order to electronic filing system (EFS)
6. Put paper copy of memo in Memo Book

	Memo Date
	Date

Tracker Summary

Required for ALL SPU, RN, RPU & CGP Filings

1. Tracker Summary required?
2. Prepare and submit Tracker Summary

Y/N	

New Language for Memos & Approval Letters - Rate Regulated Utilities

[Company Name] filed proposed tariff revisions in docket number [docket number]. Board staff has reviewed the proposed revisions and believes they are in substantial compliance with Board rules and the revisions are accepted for inclusion in the company's tariff, subject to complaint or investigation, with an effective date of [date], [year].

New Language for Memos & Approval Letters - REC Non-Rate Regulated Utilities

Notify [Company Name], a non-rate-regulated public utility, by letter that Board staff has reviewed the jurisdictional part of the proposed tariff revision and believes the jurisdictional part is in substantial compliance with Board rules and the revision is accepted, subject to complaint and investigation.