



# STATE OF CONNECTICUT

## PUBLIC UTILITIES REGULATORY AUTHORITY

### **APPLICATION FOR STAKEHOLDER GROUP COMPENSATION**

#### ***Instructions:***

You must complete and file this Application for Stakeholder Group Compensation (Application) to request an award of compensation for a substantial contribution in a proceeding, investigation, or rulemaking before the Public Utilities Regulatory Authority (PURA or the Authority). Educational resources and trainings are available to help groups new to the PURA docket process engage effectively in PURA proceedings. Resources include YouTube videos and other materials available from the Office of Consumer Counsel (OCC). The Authority may require an applicant to attend such educational trainings as a condition of receiving an award of compensation.

The Application Window begins when the docket of the relevant PURA proceeding is initiated and closes at the date identified in the Notice of Proceeding. The Authority will decide whether your participation is likely to constitute a substantial contribution within 30 days of the close of the Application Window. Pursuant to § 15 of Public Act 23-102, a “substantial contribution” means participation by a stakeholder group in a proceeding that may substantially assist the Authority in making its decision or part of its decision because the Authority may adopt one or more factual contentions, legal contentions or policy or procedural recommendations that the stakeholder group presents.

Compensation awarded will be paid at the conclusion of the proceeding, unless participation in the proceeding imposes a significant financial hardship on the stakeholder group. If compensation is awarded, the contact person(s) will be notified to facilitate payment.

To apply, you must:

1. Serve a Notice of Intent to Apply (Notice) on every party, intervenor or participant to the proceeding, investigation, or rulemaking **at the same time or before the filing of your Application.**
2. Submit a completed Application by filing it as a motion<sup>1</sup> in Docket No. 23-09-34. You must **submit your Application by the date identified in the Notice of Proceeding** in the relevant docket, which will typically be two weeks from the issuance of the Notice of Proceeding or the filing of an external application, whichever is later.

If you are seeking **advance payment due to a significant financial hardship**, you must complete section IV of this Application, in addition to sections I - III.

The Authority will complete an administrative review for completeness within seven days of receipt of an Application. If the Authority deems an Application incomplete, the applicant will have until the Application Window closes to remedy any omissions or errors. Applications not cured before the Application Window closes will be deemed ineligible.

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<sup>1</sup> For information on how to submit a filing, visit PURA's [Make an Electronic Filing](#) webpage.

## I. Applicant Information

1. Stakeholder Group Name: \_\_\_\_\_
2. Docket Number: \_\_\_\_\_
3. Docket Name: \_\_\_\_\_
4. Docket Role:  Intervenor     Participant     Party     Other: \_\_\_\_\_
5. Stakeholder Group Mailing Address: \_\_\_\_\_
6. Contact Person for Service List (Required)  
Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_
7. Additional Contact Person for Service List (Optional)  
Name: \_\_\_\_\_  
Mailing Address: \_\_\_\_\_  
Phone Number: \_\_\_\_\_ Email Address: \_\_\_\_\_
8. Indicate your eligibility status:
  - Group of persons designated an intervenor pursuant to General Statutes § 4-177a or designated a participant pursuant to § 16-1-135 of the regulations of Connecticut state agencies that applies jointly for an award of compensation and represents the interests of:
    - More than one residential utility customer residing in an environmental justice community, as defined in General Statutes § 22a-20a
    - More than one residential utility customer who are hardship cases for purposes of General Statutes § 16-262c(b)(3)
    - More than one small business customer, defined as commercial or industrial electric customers with less than a two hundred kilowatt peak load that are each a “small business” under General Statutes § 4-168a
  - Nonprofit organization in the state authorized to represent the interests of:
    - Residential utility customers residing in an environmental justice community, as defined in General Statutes § 22a-20a
    - Residential utility customers who are hardship cases for purposes of General Statutes § 16-262c(b)(3)
    - Small business customers, defined as commercial or industrial electric customers with less than a two hundred kilowatt peak load that are each a “small business” under General Statutes § 4-168a

9. Are you **excluded from stakeholder group compensation** as a (1) a nonprofit or other organization whose principal interests are the welfare of a public service company or its investors or employees, or the welfare of one or more businesses or industries which receive utility service primarily for use in connection with the manufacture, sale or distribution of goods or services for profit or (2) a state agency that participates in proceedings before the authority?

No, we are not an ineligible organization that is excluded from compensation

10. Do you intend to assert a significant financial hardship?

No

Yes (If yes, you must complete section IV.)

11. Estimate, to the best of your ability, the number of residential utility customers whose interests you represent with respect to this docket.

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12. Explain specifically how the issues considered in this docket may impact the customers whose interests you represent. Identify the specific geographic area(s) in which those customers reside. *(500 words maximum)*

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13. Are you aware of any similarly situated applicants who may apply for stakeholder group compensation?

Yes. Please list: \_\_\_\_\_

No

14. Educational resources and trainings are available in order to ensure that groups new to the PURA docket process are able to engage effectively in PURA proceedings. Resources include YouTube videos and other materials available from the Office of Consumer Counsel (OCC). The Authority may require an applicant to attend such educational trainings as a condition of receiving an award of compensation. If your group has not previously contributed to a PURA proceeding, have you consulted with OCC ([occ.info@ct.gov](mailto:occ.info@ct.gov)) about how to effectively participate in PURA proceedings before submitting this Application?

Yes

No

## II. Planned Substantial Contribution

15. Provide a statement of the nature and extent and the factual and legal basis of any planned participation, to the extent it is possible to describe such participation with reasonable specificity at the time this Application is filed.

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16. Identify any public outreach or engagement efforts that the stakeholder group plans to organize, implement, or participate in with relevant stakeholders outside of the PURA docket process for this particular docket.

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### III. Budget Materials

Compensation is limited to \$100,000 for each stakeholder group and \$300,000 for all stakeholder groups in an eligible proceeding, subject to a cap of \$1,200,000 for all stakeholder groups in each calendar year.

You may request payment for reasonable attorneys' fees, reasonable expert witness fees, and other reasonable costs. "Other reasonable costs" means reasonable out-of-pocket expenses incurred by the stakeholder group that are directly related to the group's preparation for or participation in the proceeding before the Authority that resulted in a substantial contribution.

Only *reasonable* costs may be compensated, taking into consideration the compensation paid to attorneys, expert witnesses and other persons of comparable training and experience who offer similar services as the services relevant to the stakeholder group's application and compensation.

The Authority will not award compensation to any stakeholder group that delays or obstructs, or attempts to delay or obstruct, the orderly and timely fulfillment of the Authority's duties.

Unless the Authority determines that a significant financial hardship exists, compensation will be paid at the conclusion of the proceeding. The compensation will be paid by all relevant public service companies in proportion to such companies' relative annual load, number of customers, or revenue, as determined by the Authority.

#### Projected Costs

17. Provide an estimate of the total compensation you are applying for in this docket. Specifically, attach a detailed budget of anticipated reasonable attorneys' fees, reasonable expert witness fees, and other costs of preparation for and participation in the proceeding, using the Stakeholder Group Compensation Itemized Budget Form.

#### Costs Incurred

18. No later than 30 days after a final decision is issued in the relevant proceeding, any stakeholder group authorized to receive compensation must provide an itemized record of all reasonable attorneys' fees, reasonable expert witness fees, and other reasonable costs for preparation and participation, using the Stakeholder Group Compensation Itemized Expenditures Form. The itemized record must include documentation of all incurred costs that are sought for recovery.

If any portion of those costs were recovered from another source (e.g., grants, litigation awards), provide detailed information about such cost recovery.

#### IV. Petition for Significant Financial Hardship

19. Do you seek advance payment of an award of compensation in order to initiate, continue, or complete participation in the proceeding?

- No
- Yes, we seek advance payment of an award of compensation in order to:
  - initiate participation in the proceeding
  - continue participation in the proceeding
  - complete participation in the proceeding

20. If you seek advance payment of an award of compensation, please provide the following:

- (a) Amount for which you seek advance payment: \_\_\_\_\_
- (b) Itemized list of costs for which you seek advance payment (please indicate on the Stakeholder Group Compensation Itemized Budget Form)
- (c) An annual budget of revenue and expenses for the preceding and current year for the stakeholder group (please attach)
- (d) Percentage of annual budget that the costs of the planned participation represent: \_\_\_\_
- (e) An explanation of why stakeholder group funds cannot be used to fund the planned participation:

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If a stakeholder group discontinues its participation in the proceeding without the consent of the Authority, PURA may recover all or part of any advance payments made to such stakeholder group.

21. No later than 30 days after a final decision is issued in the relevant proceeding, any stakeholder group that has received an advance payment must provide an itemized record of all reasonable attorneys' fees, reasonable expert witness fees, and other reasonable costs for preparation and participation, using the Stakeholder Group Compensation Itemized Expenditures Form. The itemized record must include documentation of all incurred costs that are sought for recovery.

Each stakeholder group shall return any unused compensation to the Authority, which will be refunded to the public service company.

If any portion of those costs were recovered from another source (e.g., grants, litigation awards), provide detailed information about such cost recovery.

## V. Substantial Contribution

22. No later than 30 days after a final decision is issued in the relevant proceeding, any stakeholder group authorized to receive compensation must provide a detailed narrative regarding how the stakeholder group substantially contributed to the proceeding and the final decision, using the Evidence of Substantial Contribution Form. The stakeholder group must provide:

- (a) a summary of an assessment of the impact of the stakeholder group's participation on the proceeding and its outcomes;
- (b) a list of hyperlinks to all submissions in the docket;
- (c) a list of times that the group engaged in the process; and
- (d) a record of any public outreach or engagement with relevant stakeholders outside of the PURA process.

## VI. Payment

Any compensation awarded will be paid directly by the regulated utilities involved in the relevant proceeding to the stakeholder group in a manner directed by the contact person(s). If multiple regulated utilities are involved in a proceeding, the Authority will determine the proportion of the compensation to be paid by each utility at the time compensation is awarded.

## VII. Signature of Authorized Representative

I, \_\_\_\_\_, am an authorized representative of the Applicant Stakeholder Group. I have read section 15 of Public Act 23-102, and I swear that the information provided in this Application is true and accurate to the best of my knowledge. I understand that compensation may be denied due to failure to provide the information and supporting documentation required by this Application.

\_\_\_\_\_  
**(Signature)**

\_\_\_\_\_  
**(Date)**