



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY
TEN FRANKLIN SQUARE
NEW BRITAIN, CT 06051

DOCKET NO. 23-09-34

PURA IMPLEMENTATION OF THE
STAKEHOLDER GROUP COMPENSATION
PROVISIONS OF SECTION 15 OF PUBLIC
ACT 23-102

January 3, 2024

By the following Commissioners:

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DECISION

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DECISION

I. INTRODUCTION

A. SUMMARY

The Public Utilities Regulatory Authority (Authority or PURA) establishes the Stakeholder Group Compensation Program (Program), including an application and approval process for stakeholder group compensation in eligible PURA dockets. In section 15 of Public Act 23-102, the General Assembly directed the Authority to establish a program to award compensation¹ to eligible stakeholder groups. See Public Act No. 23-102, § 15(b)(1), codified as Conn. Gen. Stat. § 16-9c(b)(1). Compensation is primarily available for stakeholder groups representing the interests of residential utility customers residing in an environmental justice community or receiving protection as hardship cases. See Conn. Gen. Stat. § 16-9c(a)(2). Stakeholder groups participating in dockets opened on or after January 3, 2024, are eligible for the program.

This docket will also serve as the administrative record for applications for compensation from the Program.

B. BACKGROUND OF THE PROCEEDING

The Authority is responsible for establishing the Program to award compensation to eligible stakeholder groups in certain Authority proceedings not later than January 15, 2024. Conn. Gen. Stat. § 16-9c(b). Consequently, on October 11, 2023, the Authority initiated this docket to determine the appropriate procedures for accepting, taking comment on, and responding to applications for compensation.

C. CONDUCT OF THE PROCEEDING

On October 11, 2023, the Authority initiated this docket by issuing a Notice of Proceeding. The Authority also issued a Notice of Issuance of Straw Stakeholder Compensation Program and Request for Written Comments, accompanied by six attachments for the Straw Proposal's application process. See Notice of Request for Written Comments; Attachment 1; Attachment 2; Attachment 2A; Attachment 2B; Attachment 3; Attachment 3A.

On November 1, 2023, Written Comments were filed by the following entities in response to the Authority's request: the Avangrid Service Company, as agent for The United Illuminating Company, Connecticut Natural Gas Corporation and The Southern Connecticut Gas Company (Avangrid); The Connecticut Light and Power Company d/b/a Eversource Energy, Yankee Gas Services Company d/b/a Eversource Energy, and Aquarion Water Company of Connecticut (Eversource); the Office of Consumer Counsel (OCC); and the Center for Children's Advocacy (CCA).

¹ Compensation is "limited to not more than one hundred thousand dollars for each stakeholder group, not more than three hundred thousand dollars for all stakeholder groups in an eligible proceeding and not more than one million two hundred thousand dollars total for all stakeholder groups in each calendar year." Conn. Gen. Stat. § 16-9c(b)(1).

On November 1, 2023, the Acadia Center and the Connecticut Roundtable on Climate and Jobs filed correspondence that addressed the Authority's request. On November 14, 2023, Smart Water Westport also filed correspondence addressed to the Authority's request.

The Authority issued a proposed final decision in this matter on December 4, 2023. All participants were given the opportunity to file written exceptions to the proposed final decision.

D. PARTICIPANTS

The Authority recognized the following as participants to the proceeding: Avangrid Service Company, as agent for The United Illuminating Company, Connecticut Natural Gas Corporation and The Southern Connecticut Gas Company, 180 Marsh Hill Road Orange, CT 06477; the Office of Consumer Counsel, Ten Franklin Square, New Britain, CT 06051; the Commissioner of the Department of Energy and Environmental Protection, 79 Elm Street, Hartford, CT 06106; PURA's Office of Education, Outreach, and Enforcement, Ten Franklin Square, New Britain, CT 06051; the Center for Children's Advocacy, 65 Elizabeth Street, Hartford, CT 06105; and The Connecticut Light and Power Company d/b/a Eversource Energy, Yankee Gas Services Company d/b/a Eversource Energy, and Aquarion Water Company of Connecticut, P.O. Box 270 Hartford, CT 06410-0270.

II. PROGRAM ELEMENTS

A. GENERAL STATUTES § 16-9C

General Statutes § 16-9c is prescriptive with respect to a number of components of the Program, including eligibility, total compensation and compensation caps, advanced payment access, and overall Program evaluation. The Authority summarizes these components separately from its analysis and consideration of additional Program design features.

B. ELIGIBLE STAKEHOLDER GROUPS

Compensation is available for two types of "stakeholder group." Conn. Gen. Stat. § 16-9c(a)(2). The first type of stakeholder is:

a group of persons designated an intervenor pursuant to section 4-177a of the general statutes or designated a participant pursuant to section 16-1-135 of the regulations of Connecticut state agencies that applies jointly for an award of compensation under this section and represents the interests of more than one (i) residential utility customer residing in an environmental justice community, as defined in [General Statutes § 22a-20a], (ii) residential utility customer who is a hardship case for purposes of [General Statutes § 16-262c(b)(3)], or (iii) small business customer

Conn. Gen. Stat. § 16-9c(a)(2)(A). The second type of stakeholder group is:

a nonprofit organization in the state authorized to represent the interests of (i) residential utility customers residing in an environmental justice community, as defined in [General Statutes § 22a-20a], (ii) residential utility customers who are hardship cases for purposes of [General Statutes § 16-262c(b)(3)], or (iii) small business customers.

Conn. Gen. Stat. § 16-9c(a)(2)(B).

Consequently, the group or non-profit organization must represent at least one of the following three types of customers: (1) customers living in environmental justice communities, (2) customers qualifying as hardship cases, or (3) small businesses. As to the first type, an “environmental justice community” is defined as “(A) a United States census block group . . . for which [30%] or more of the population consists of low income persons who are not institutionalized and have an income below [200%] of the federal poverty level; or (B) a distressed municipality, as defined in [General Statutes § 32-9p(b)].” General Statutes § 22a-20a(a)(1). As such, the Program advances the goals of Connecticut’s Environmental Justice Law in facilitating “meaningful public participation” of the residents of an environmental justice community.²

For the second type, customers eligible to receive hardship protection include:

(i) A customer receiving local, state or federal public assistance; (ii) a customer whose sole source of financial support is Social Security, United States Department of Veterans Affairs or unemployment compensation benefits; (iii) a customer who is head of the household and is unemployed, and the household income is less than three hundred per cent of the poverty level determined by the federal government; (iv) a customer who is seriously ill or who has a household member who is seriously ill; (v) a customer whose income falls below one hundred twenty-five per cent of the poverty level determined by the federal government; and (vi) a customer whose circumstances threaten a deprivation of food and the necessities of life for himself or dependent children if payment of a delinquent bill is required.

Conn. Gen. Stat. § 16-262c(b)(3)(B).

For the third customer type, “small business customer” is defined narrowly for the purposes of Program eligibility, as “a commercial or industrial electric customer with less than a two hundred kilowatt peak load that is a ‘small business’ under section 4-168a of the general statutes.” Conn. Gen. Stat. § 16-9c(a)(6). General Statutes § 4-168a(a)(2) defines “small business” as “a business entity, including its affiliates, that (A) is

² “‘Meaningful public participation’ means (A) residents of an environmental justice community have an appropriate opportunity to participate in decisions about a proposed facility or the expansion of an existing facility that may adversely affect such residents’ environment or health; (B) the public’s participation may influence the regulatory agency’s decision; and (C) the applicant for a new or expanded permit, certificate or siting approval seeks out and facilitates the participation of those potentially affected during the regulatory process.” Conn. Gen. Stat. § 22a-20a(a)(3).

independently owned and operated and (B) employs fewer than two hundred fifty full-time employees or has gross annual sales of less than five million dollars” Consequently, small businesses must satisfy both size and electric consumption requirements for eligibility.

Certain entities are expressly excluded from participation in the Program. First, the Program excludes “any 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.” Conn. Gen. Stat. § 16-9c (a)(2). Second, the Program excludes state agencies such as DEEP, the Office of the Attorney General, and OCC. Id.

C. SUBSTANTIAL CONTRIBUTION REQUIREMENT

To be eligible for compensation under the Program, stakeholder groups must participate in a way that provides a “substantial contribution” to the proceeding. Conn. Gen. Stat. § 16-9c(e). A “substantial contribution” is participation “that, in the judgment of the [A]uthority, may substantially assist the [A]uthority in making its decision or part of its decision because the [A]uthority may adopt one or more factual contentions, legal contentions or policy or procedural recommendations that the stakeholder group presents.” Conn. Gen. Stat. § 16-9c(a)(7). Notably, the Authority “shall not award compensation to any stakeholder group that delays or obstructs, or attempts to delay or obstruct, the orderly and timely fulfillment of the [A]uthority’s duties” Conn. Gen. Stat. § 16-9c(g).

D. COMPENSATION

Each stakeholder group may be awarded compensation up to \$100,000 in an eligible proceeding. Conn. Gen. Stat. § 16-9c(b)(1). For purposes of the Program, the term “proceeding” is defined as “a contested case, investigation, rulemaking or other formal proceeding before the [A]uthority, or alternative dispute resolution ordered by the [A]uthority, pertaining to a gas company, water company, pipeline company, electric distribution company or electric supplier, as such terms are defined in section 16-1 of the general statutes” Conn. Gen. Stat. § 16-9c(a)(4). Compensation in each eligible proceeding is limited to a total of \$300,000 for all eligible stakeholder groups. Conn. Gen. Stat. § 16-9c(b)(1). The total amount of compensation in each calendar year is limited to \$1,200,000. Id.

Compensation is available “for all or part, as determined by the [A]uthority, of a stakeholder group’s reasonable attorneys’ fees, reasonable expert witness fees and other reasonable costs for preparation and participation in such proceeding before the [A]uthority.” Conn. Gen. Stat. § 16-9c(a)(1). “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 [A]uthority that resulted in a substantial contribution.” Conn. Gen. Stat. § 16-9c(a)(3).

“Any compensation shall be paid at the conclusion of the proceeding by the public service company, in a manner determined by the [A]uthority.” Conn. Gen. Stat. § 16-9c(f). Compensation is paid “by any public service company that is a party to a proceeding, investigation or rulemaking before the Public Utilities Regulatory Authority, or is a party to alternative dispute resolution ordered by the [A]uthority.” Conn. Gen. Stat. § 16-9c(a)(1). Such “[c]ompensation shall 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 [A]uthority.” Conn. Gen. Stat. § 16-9c(f).

E. FINANCIAL HARDSHIP

A stakeholder group may seek advance payment of compensation if it can demonstrate a significant financial hardship, defined as being “unable to afford to pay the costs of effectively participating in the proceeding, including attorneys’ fees, expert witness fees and other reasonable costs.” Conn. Gen. Stat. § 16-9c(a)(5). “If participation will impose a significant financial hardship and the stakeholder group seeks advance payment of an award of compensation in order to initiate, continue or complete participation in the proceeding, the stakeholder group shall include substantial evidence of significant financial hardship in its application.” Conn. Gen. Stat. § 16-9c(d)(3). Once a group demonstrates a significant financial hardship, the Authority may direct the payment of some or all of the expected compensation before the end of the proceeding. Conn. Gen. Stat. § 16-9c(e)(2).

Advance payments of compensation must be returned if not used for participation resulting in a substantial contribution. Stakeholder groups must maintain an itemized record of all expenditures and return unused compensation to the Authority. Conn. Gen. Stat. § 16-9c(e)(4)-(5). Any compensation returned by a stakeholder group must be refunded to the company or companies that provided the compensation. Conn. Gen. Stat. § 16-9c(e)(4). A stakeholder group may be required to return all or part of any advance payment if the group discontinues its participation without Authority consent. Conn. Gen. Stat. § 16-9c(e)(2).

F. PROGRAM EVALUATION

The General Assembly directed the Authority to retain a consultant by March 15, 2026, to independently evaluate the Program, “including its performance, impact and effectiveness.” Conn. Gen. Stat. § 16-9c(b)(2)(A). The Authority must report, by January 15, 2027, to the General Assembly regarding the implementation of the Program, including:

- (i) A summary of the program’s implementation, including a summary of the application process, the number of applicants received, the number of stakeholder groups who participated in proceedings, the number of stakeholder groups who were awarded funding, the number of stakeholder groups who claimed financial hardship, and the annual costs of the program, including a breakdown of costs by type of stakeholder group expense;

(ii) an assessment of the impact of stakeholder groups on proceedings and their outcomes;

(iii) the program evaluation by the independent consultant retained by the authority; and

(iv) any recommendations regarding legislative changes to the program.

Conn. Gen. Stat. § 16-9c(b)(2)(C).

III. STAKEHOLDER GROUP COMPENSATION PROGRAM

A. APPLICATION PROCESS SUMMARY

The Authority establishes the following application process for participation in the Program. The associated forms are described in Section III.C., Application Forms, and attached as Appendices A-F.³

Step 1: Notice of Intent to Apply for Stakeholder Group Compensation

A stakeholder group files a Notice of Intent to Apply for Stakeholder Group Compensation (Notice of Intent) in the relevant docket before the deadline provided in the Notice of Proceeding. The Notice of Intent must be filed before or contemporaneously with the Application for Stakeholder Group Compensation (Application). The Notice of Intent must be filed as correspondence in both the relevant docket and in Docket No. 23-09-34. Each group that files a Notice of Intent in Docket No. 23-09-34 will automatically receive participant status in Docket No. 23-09-34.

Step 2: Application and Itemized Budget for Stakeholder Group Compensation

The stakeholder group files an Application and the Stakeholder Group Compensation Itemized Budget (Itemized Budget) within the application window stated in the Notice of Proceeding. The application window will typically begin when the Notice of Proceeding is issued and close two weeks after the issuance of the Notice of Proceeding or two weeks from the filing of an external application, whichever is later. The Application must be filed subsequent to or contemporaneously with the Notice of Intent. The Application must be filed as a motion in Docket No. 23-09-34.⁴ The Itemized Budget contains a proposed budget for expected costs, including reasonable attorney's fees,

³ Information regarding the Authority's procedural practices is available on the Authority's website, <http://www.ct.gov/pura>. Unless otherwise specified, the Authority requires electronic submission of all filings, including applications and motions, using the Authority's online filing system (links and instructions also available at <http://www.ct.gov/pura>). Persons filing electronically or wishing to be listed as a contact must first create an account through the Authority's website under Docket Services (Make a Filing). Additional information, including [definitions of common terms and procedures](#), is also on the Authority's website.

⁴ Any person seeking a procedural change or other Authority approval must file a motion with the Authority; motions must be served on the service list for the proceeding. Objections and responses to motions are due no later than 7 calendar days following Authority receipt.

expert witness fees, and other reasonable expenses. A stakeholder group need not be granted participant or intervenor status in the relevant docket *prior to filing* its Application.

Step 3: Completeness Review

Within approximately five business days of receipt of the Application, the Authority completes an administrative review of each application for completeness and notifies the applicant if the Application is incomplete. Applicants have until the application window closes or until the date indicated in the notice letter to remedy any omissions or errors.

Step 4: Application Review and Eligibility Determination

Within 30 days of receipt of a complete Application, the Authority reviews the Application to make a preliminary determination as to whether the stakeholder group's participation will constitute a substantial contribution and whether the stakeholder group has a significant financial hardship. Upon completion of the review, the Authority issues a written determination as to the applicant's eligibility as a stakeholder group and as to any statutory limits on compensation.

Step 5: Agreement to Provide Evidence of Substantial Contribution and Itemized Expenditures

If the applicant is determined to be an eligible stakeholder group, the eligibility determination will be conditioned upon the applicant filing an executed Agreement to Provide Evidence of Substantial Contribution and Itemized Expenditures (Agreement) within seven days of receipt of the written determination.

Step 6: Advance Payment (if applicable)

At the time of the eligibility determination, the Authority will, if applicable, make a finding as to whether the stakeholder group has a significant financial hardship. If so, the Authority may direct the relevant public service company or companies to pay all or part of the expected compensation prior to the end of the proceeding.

Step 7: Evidence of Substantial Contribution and Itemized Expenditures

No later than 30 days after the Authority issues its final decision in the relevant proceeding, all stakeholder groups, including those who received advance payments, must submit their (1) Evidence of Substantial Contribution form and (2) the Stakeholder Group Compensation Itemized Expenditures (Itemized Expenditures) form in Docket No. 23-09-34 (as a comment to the motion representing the stakeholder group's Application).

Step 8: Compensation Determination and Payment

Within 14 days of receipt of the Evidence of Substantial Contribution and Itemized Expenditures forms, the Authority reviews each stakeholder group's submission for completeness and notifies the stakeholder group if the submission is incomplete. In determining each stakeholder group's compensation, the Authority considers (1) whether the stakeholder group made a substantial contribution, (2) whether the submitted expenditures were reasonable, and (3) whether the group unduly delayed or obstructed, or attempted to delay or obstruct, the orderly and timely fulfillment of the Authority's duties.

The Authority issues a written determination stating the approved compensation for each stakeholder group and orders the relevant public service company or companies to make such payment, accounting for amounts previously paid. As applicable, the Authority orders the return of any advance payments exceeding the approved compensation.

B. CONFIDENTIAL INFORMATION

The Authority operates with the strong presumption that all documents filed with it are public records subject to the right of public inspection and copying in accordance with the Connecticut Freedom of Information Act, Conn. Gen. Stat. § 1-200 et seq. If a participant believes that information is confidential under law, a motion for a protective order requesting an exemption from public disclosure may be filed. The Authority explored whether confidential information would likely be included in the Application materials, and, if so, what information may be protected. UI identified the possibility that applications may include tax returns and financial statements, as well as legal invoices with information protected by attorney-client privilege. UI Comments, p. 4. CCA and OCC affirmed that applicants should be able to file a Motion for Protective Order. CCA Comments, p. 5; OCC Comments, p. 5.

The Authority finds that stakeholder groups applying for compensation in this Program have an appropriate method to seek protection of any confidential materials. If a motion for protective order is filed by an applicant, it will be subject to the same standard of review as other such motions. At this time, the Authority finds that there is no evidence to support the need for additional protection for Program applications.

C. APPLICATION FORMS

1. Notice of Intent to Apply for Stakeholder Group Compensation

Prior to or coincident with the filing of an Application, the applicant must file the Notice of Intent as a correspondence in (1) the relevant docket and (2) Docket No. 23-09-34. The Authority will automatically grant participant status in Docket No. 23-09-34 to each group that files a Notice of Intent in Docket No. 23-09-34.⁵ The filing of the Notice of Intent in the relevant docket satisfies the requirement to serve “every party, intervenor or participant to the proceeding notice of intent to apply for an award of compensation.” Conn. Gen. Stat. § 16-9c(c).

The Notice of Intent collects a stakeholder group’s contact information, eligibility status, and significant financial hardship election. Appendix A contains the fillable PDF form that stakeholder groups must complete, sign, and file as their Notice of Intent.

⁵ Stakeholder groups must file a motion requesting participant or intervenor status, as applicable, in the relevant docket by the date stated in the Notice of Proceeding. Eversource requested that the Authority require stakeholder groups to obtain participant or intervenor status in the relevant docket prior to filing an Application. Eversource Exceptions, p. 3. The Authority declines to implement such a requirement, however, because it would pose an additional barrier to access for stakeholder groups. There is no relevant legal requirement or purpose served by requiring a stakeholder group to wait for the Authority to rule on a stakeholder group’s motion before it may file an Application.

2. Application for Stakeholder Group Compensation

Applicants must file the Application as a motion in Docket No. 23-09-34 during the application window defined in the Notice of Proceeding. The application window will typically begin when the Notice of Proceeding is issued and close two weeks after the issuance of the Notice of Proceeding or two weeks from the filing of an external application, whichever is later. The Application must be filed subsequent to or contemporaneously with the Notice of Intent. The Application must be accompanied by the Itemized Budget. A stakeholder group may file its Application in Docket No. 23-09-34 before the Authority grants it participant or intervenor status in the relevant docket.

The Application collects information about the applicant's planned participation, including (1) information about the customers whose interests the group represents, (2) the possible impact of the relevant docket on those customers, (3) the nature and extent of the planned participation, planned public outreach, or engagement efforts, and (4) details of any significant financial hardship.

Appendix B contains the fillable PDF form that stakeholder groups must complete, sign, and file as their Application.

3. Stakeholder Group Compensation Itemized Budget

All applicants must submit the Itemized Budget, whether or not they are applying for advance payments. The Itemized Budget requires information about incurred or expected costs, including reasonable attorney's fees, expert witness fees, and other reasonable expenses. Invoices, quotes, or estimates should be submitted for each expense included. Applicants applying for advance payments must indicate which expenses it seeks advance payments for, including the date when each advance payment amount will be needed.

Appendix C contains the fillable PDF form that stakeholder groups must complete, sign, and file with their Application as their Itemized Budget.

4. Agreement to Provide Evidence of Substantial Contribution and Itemized Expenditures

As a condition of eligibility for compensation, the stakeholder group must file the executed Agreement to Provide Evidence of Substantial Contribution and Itemized Expenditures (Agreement) no later than 7 days after the stakeholder group is notified of its eligibility determination. The Agreement is filed as a comment on the stakeholder group's application motion in Docket No. 23-09-34. By executing the Agreement, the stakeholder group acknowledges that compensation will only be paid for reasonable expenditures for which supporting documentation has been provided. Further, the stakeholder group agrees (1) to provide evidence of substantial contribution, (2) to provide an itemized record of expenditures along with supporting documentation, and (3) to return any unused advance payment, if applicable.

Appendix D contains the fillable PDF form that stakeholder groups must complete, sign, and file as their Agreement.

5. Evidence of Substantial Contribution

The stakeholder group must file the Evidence of Substantial Contribution form in Docket No. 23-09-34 (as a comment to the motion representing the stakeholder group's Application), no later than 30 days after a final decision is issued in the relevant proceeding.

The Evidence of Substantial Contribution Form includes a (1) detailed narrative of the stakeholder group's participation, including the impact on the proceeding and its outcomes, (2) list of hyperlinks to all submissions in the docket, (3) list of times that the group engaged in the process, and (4) record of any public outreach or engagement with relevant stakeholders outside of the proceeding. An Itemized Expenditures form must accompany the completed Evidence of Substantial Contribution.

Appendix E contains the fillable PDF form that stakeholder groups must complete, sign, and file as their Evidence of Substantial Contribution. Section D, *infra*, provides further explanation of what is required to demonstrate a substantial contribution.

6. Stakeholder Group Compensation Itemized Expenditures

All stakeholder groups, including those who received advance payments, must file the Itemized Expenditures form. The Itemized Expenditures form requires information about incurred costs, including a comparison to the Itemized Budget. For each itemized expense, the stakeholder group must provide invoices, receipts, and other supporting documentation demonstrating the validity and reasonableness of the expense.

Appendix F contains the fillable PDF form that stakeholder groups must complete, sign, and file with their Evidence of Substantial Contribution form.

D. SUBSTANTIAL CONTRIBUTION

1. Evidence of Substantial Contribution

To be eligible for and to receive compensation, a stakeholder group must demonstrate that its participation results in a substantial contribution by assisting the Authority. Specifically, a stakeholder group's participation provides a substantial contribution when it presents factual, legal, or policy arguments that substantially assist the Authority in its decision making. Conn. Gen. Stat. § 16-9c(a)(7). The cost of stakeholder group compensation is ultimately borne by ratepayers, and the substantial contribution requirement ensures that the interests of customers are meaningfully being represented in exchange for that compensation.

The Authority has broad discretion in determining what type of participation constitutes substantial contribution. See Conn. Gen. Stat. § 16-9c(a)(7) (deferring to "the judgment of the authority"). Given that participating in an Authority proceeding can take a wide range of forms, each determination must be made on a case-by-case basis.

However, there was a general consensus among the participants in this proceeding as to what factors should be considered in making a “substantial contribution” determination. First, stakeholder group engagement in the discovery and administrative proceeding process is critical. For example, a stakeholder group issuing and responding to interrogatories, participating in cross-examination, filing briefs and written exceptions, and highlighting deficiencies in compliance filings would be relevant examples of activities that could impact the Authority’s analysis. CCA Comments, p. 4. Second, a stakeholder group’s ability to provide unique or meaningful facts, analysis, or policy recommendations, as well as additional perspectives that are not otherwise represented in the proceeding, is relevant. UI Comments, p. 4; OCC Comments, p. 5.

Consequently, the Authority does not prescribe activities eligible for stakeholder group compensation but, rather, will consider each stakeholder group’s contributions on a case-by-case basis, including consideration of (1) participation in discovery and hearings, (2) submission of briefs and/or written exceptions, (3) contributions in oral argument, if applicable, and (4) representation of positions and/or perspectives not otherwise represented.

2. Groups with Substantially Similar Interests

To minimize the risk of compensation for duplicative contributions, the consolidation of similarly situated stakeholders is permitted. Conn. Gen. Stat. § 16-9c(e)(6). Specifically, if the Authority determines that multiple stakeholder groups represent substantially similar interests, the Authority may require those groups to apply jointly in that proceeding in order to receive compensation. Conn. Gen. Stat. § 16-9c(e)(6).

In most Authority proceedings, there are multiple groups (e.g., OCC, DEEP, and OAG) that already represent various constituencies, including utility customers. UI Comments, pp. 5-6. However, utility customers are not homogenous and consist of a wide range of interests and perspectives. In addition, even stakeholder groups with substantially similar interests may not be perfectly aligned with respect to recommendations and objectives. CCA Comments, p. 4.

Consequently, in determining whether stakeholder groups are required to apply jointly, the Authority will consider each stakeholder group’s application on a case-by-case basis in the context of the relevant proceeding, including consideration of whether (1) the groups seek similar outcomes in the proceeding, (2) the groups represent overlapping constituencies of customers, considering relevant demographics, and (3) the groups’ contributions would be diminished if they were required to apply jointly. CT Roundtable Comments, p. 2; Acadia Center Comments, p. 2; OCC Comments, p. 7. If the Authority determines that two or more stakeholder groups have substantially similar interests, the Authority will first notify such stakeholders and provide an opportunity for such

stakeholders to submit a joint application or to explain why a joint application is not consistent with the Program.⁶

3. Educational Training

The Authority may require stakeholder groups to attend educational trainings, sponsored or recommended by the Authority or OCC, as a condition of receiving an award of compensation.⁷ Conn. Gen. Stat. § 16-9c(c). Trainings provided for the Program should “support public participation and public understanding of authority decisions and rulings, and general education and awareness regarding public service company regulation and operations,” including resources explaining the role and function of the Authority and OCC. Id.

Training may be appropriate to ensure each stakeholder group is qualified to participate in a proceeding and to minimize disruptions. UI Comments, p. 4; CCA Comments, p. 3. In addition, workshops explaining the regulatory and procedural process could help reduce barriers to participation, particularly when paired with stipends for travel and time. CT Roundtable Comments, pp. 1-2.

In keeping with the Program’s objective to encourage and support underrepresented stakeholder participation, the Authority will not mandate training for all stakeholders. The Authority recognizes that, although training resources can support more effective engagement, a training mandate could impose an unnecessary burden to participation. Notably, some stakeholders may have existing expertise and experience in administrative proceedings. Further, there are existing resources available to applicants regarding public participation,⁸ as well as procedures that allow the Authority to remove disruptive participants.⁹ As such, the Authority finds that mandated training for all stakeholders is not necessary.

Instead, the Authority will consider each stakeholder group on a case-by-case basis in the context of the relevant proceeding to determine whether educational training should be required. The Authority is mindful that any educational training that may later be required to facilitate effective participation, must be done without imposing unnecessary burdens on stakeholder groups. In its written comments, OCC stated its commitment to supporting stakeholder groups with training needed for effective participation. Any training sponsored by the Authority or OCC, whether required or optional, would be offered at no cost to the applicant. The Authority invites OCC to make publicly available any materials created for such training.

⁶ As OCC stated, it is “proud to zealously advocate for consumer interests, but [it] cannot advocate for the subjective interests of every consumer, *which often conflict with one another*. . . . [OCC] support[s] this Program as a vehicle to *maximize the diversity and equity of public engagement* in the regulatory process.” OCC Exceptions, p. 2 (emphasis added).

⁷ The Authority and OCC may retain consultants to provide training, if necessary to supplement existing staff expertise, and incur other reasonable costs related to the Program, with such costs not to exceed one million dollars per year. Conn. Gen. Stat. § 16-9c(c).

⁸ See PURA Public Participation, available at <https://portal.ct.gov/PURA/About/Public-Participation>.

⁹ See Conn. Gen. Stat. § 4-177a(d).

E. COMPENSATION

1. Payments by Public Service Companies

Compensation is available for stakeholder groups for reasonable expenditures, including “reasonable attorneys’ fees, reasonable expert witness fees and other reasonable costs for preparation and participation” in an Authority proceeding. Conn. Gen. Stat. § 16-9c(a)(1). The Authority will determine the reasonableness of expenditures by considering various factors, including 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.” Conn. Gen. Stat. § 16-9c(e)(3).

Except for authorized advance payments, compensation is paid at the conclusion of the proceeding by all public service companies that are parties or participants to the proceeding, in a manner determined by the Authority. Conn. Gen. Stat. § 16-9c(f). The obligation to pay compensation will generally be allocated as follows:

- (1) For proceedings involving only one public service company, the public service company’s responsibility will be the entire amount of compensation.
- (2) For proceedings involving multiple public service companies from a single sector (e.g. electric, gas, or water), each public service company’s responsibility will be apportioned by load, usage, or volume, as determined by the Authority.
- (3) For proceedings involving public service companies from more than one sector, each public service company’s responsibility will be apportioned based on the total number of customers served.¹⁰

Upon receipt of the Authority’s order to make payment of compensation for reasonable expenditures, public service companies shall make payment to each approved applicant as soon as practicable and within 30 days. Avangrid recommended extending the payment deadline to 30 days instead of 14 days, because it takes longer than 14 days to establish new payee accounts. Avangrid Exceptions, p. 3. The Authority finds 30 days to be a reasonable deadline, but payments are to be made as soon as practicable.

2. Compensation Apportionment

Compensation paid under the Program is subject to the following statutory limits.

Limit	Amount
Stakeholder group per proceeding	\$100,000
All stakeholder groups per proceeding	\$300,000
Calendar year	\$1,200,000

Conn. Gen. Stat. § 16-9c(b)(1).

¹⁰The specific allocation for each docket will be determined by the Authority at the time the public service company is ordered to pay compensation.

Authority proceedings frequently span multiple years, and Program compensation may be paid through advance payments or at the end of the proceeding. CCA Comments, pp. 4-5. Therefore, the application of these statutory limits will require the Authority to consider a variety of factors in capping compensation. In general, the Authority will count compensation toward the \$1,200,000 calendar year limit based on the date the docket is initiated. When the Authority determines the eligibility of a stakeholder group, the Authority will consider the compensation requested in the stakeholder group's Itemized Budget and address any applicable statutory limits to ensure that there is sufficient funding for the Itemized Budget.¹¹

Given these limitations, the Authority considered methods to award compensation predictably and equitably. Suggestions included a ballot system, randomized selection, prioritizing new stakeholder groups, and reserving funding for specific subsets of interests. OCC Comments, p. 7; Acadia Center Comments, p. 2. In particular, Acadia Center advocated that at least 40% of the Program funding be allocated for environmental justice organizations, communities, and representatives. Although such stakeholder groups are one of the intended beneficiaries of this Program, the Authority declines to impose any discrete limitations on funding based on stakeholder group type at this time. Doing so may have unintended consequences, including reducing flexibility in fully subscribing the annual allocation of funding. The Authority finds that the statutory requirements for eligibility and statutory funding caps, in conjunction with the discretion allocated to the Authority, are sufficient to advance the objectives of the Program.

3. Advance Payments

If the Authority determines that a stakeholder group has a significant financial hardship, all or part of the applied for compensation, as determined by the Authority, may be ordered paid before the end of the proceeding. Conn. Gen. Stat. § 16-9c(e)(2).

The Authority recognizes the importance of a predictable funding source to stakeholder groups, especially the impact that advance payments may have on a stakeholder group's ability to participate in a proceeding. A stakeholder group's ability to participate in a particular proceeding may be contingent on available advance funds to hire and retain the services of an attorney or expert witness. Without advance payments, retaining such services may not be possible for some stakeholder groups. The Authority finds that allowing advance payments in those circumstances is necessary to enable equitable access and participation of historically underrepresented groups in Authority proceedings.

A stakeholder group requesting advance payment must provide evidence of its significant financial hardship in its application, as well as an explanation of the necessity for an advance payment and justification for the timing of the requested advance payment. Any request for advance payment must be included by a stakeholder group in

¹¹Costs incurred by stakeholder groups in excess of the Itemized Budget may be requested at the end of the proceeding, subject to Program funding limits, but cannot exceed the statutory limit.

its Itemized Budget and supported by appropriate documentation (e.g., retainer agreement, invoice, or receipt).

The Authority will only order advance payments to stakeholder groups demonstrating a significant financial hardship and that their participation in the proceeding is dependent upon an advance payment. OCC drew a distinction between advance payments for costs not yet incurred and advance payments for costs incurred and due prior to the conclusion of the proceeding (which OCC termed “periodic payments”). OCC Comments, p. 3. OCC suggested that advance payments should be rare, but periodic payments may be made more routinely. OCC Comments, p. 3.

Advance payments are a key component of the Program because they may facilitate non-traditional and marginalized stakeholder participation. However, advance payments also represent a significant financial risk, for both ratepayers and the stakeholder group. Notably, stakeholder groups must return all unused portions of any advance payment. Conn. Gen. Stat. § 16-9c(e)(2). Accordingly, the Authority will authorize advance payments only to the extent necessary to facilitate a stakeholder group’s effective participation in a proceeding.

4. Demonstrating Significant Financial Hardship

A stakeholder group must demonstrate a significant financial hardship if it seeks an advance payment to participate in a proceeding. A stakeholder group has a significant financial hardship if it cannot afford to pay the costs of effectively participating, including attorneys’ fees, expert witness fees, and other reasonable costs. Conn. Gen. Stat. § 16-9c(a)(5).

The Authority considered whether to define the term “significant financial hardship” more specifically for purposes of authorizing advance payment. OCC offered that determining substantial financial hardship requires two determinations; first, that the applicant’s proposed cost of participation is reasonable, and second, that the applicant cannot afford to pay the cost. OCC Comments, pp. 6-7 (citing to California’s intervenor compensation program). In California, intervenors must support claims of financial hardship with basic financial information like gross and net monthly income, and that the economic interest of the individuals represented is small, compared to the costs of effective participation. *Id.* Also suggested was using the overall operating budget, a description of financial and personnel resources available, a demonstration of the organization’s mission, as well as proof of non-profit status. CCA Comments, p. 4. Further, the availability of other funding sources can be a factor in assessing the financial needs of a stakeholder group. Eversource Comments, p. 5.

The unique nature of each stakeholder group requires the Authority to evaluate the existence of significant financial hardship on a case-by-case basis. A stakeholder group should provide relevant information, such as gross and net monthly income, statements of available financial and personnel resources, and operating budgets, to demonstrate the existence of a significant financial hardship. The Authority also notes that, while other funding sources may be available to stakeholder groups, such availability does not

guarantee receipt of those funds. However, stakeholders are encouraged to demonstrate that they have sought out other available funding sources and shall not request compensation for expenses that were funded by another source.

F. COST RECOVERY

Compensation paid by public service companies pursuant to this Program shall be recoverable by the public service companies. The electric distribution companies (EDCs) may recover through the Non-Bypassable Federally Mandated Congestion Charge (NBFMCC) any costs that were incurred in the relevant calendar year. Carrying charges may not be recovered on deferred expenses without explicit prior Authority approval.

G. PARTICIPANT FEEDBACK AND PROGRAM EVALUATION

As part of its administration of the Program, and in preparation for its 2027 report to the General Assembly, the Authority will collect information regarding the performance, impact, and effectiveness of the Program, including information regarding the number of applications received, the number of participating stakeholder groups, financial hardship applications and payments, and the costs of the program. See Conn. Gen. Stat. § 16-9c(b). CCA recommended the Authority seek stakeholder feedback and consider adjustments as part the Authority's evaluation of the Program prior to the 2027 report to the General Assembly. CCA Exceptions, p. 1. The Authority will routinely solicit feedback from stakeholder groups as part of its ongoing evaluation process.

IV. CONCLUSION AND ORDERS

A. CONCLUSION

In this Decision, the Authority establishes the Stakeholder Group Compensation Program. The application process set forth in this Decision provides a standardized application process, which will allow for the timely compensation of stakeholder groups, while also providing the opportunity for the Authority and other stakeholders to review whether stakeholder groups are making substantial contributions and whether their costs are reasonable. The Program requires stakeholder groups to file a Notice of Intent, Application, Itemized Budget, Agreement, Evidence of Substantial Contribution, and Itemized Expenditures. Applicants must include documentation of each expense included in the itemized records. The application process will also allow the Authority to collect the information necessary for an evaluation of the Program and subsequent report to the General Assembly.

B. ORDERS

For orders requiring a filing, electronic version shall be filed through the Authority's website at www.ct.gov/pura. Submissions filed in compliance with the Authority's Orders must be identified by: Docket Number, Title, and Order Number. Compliance with orders shall commence and continue as indicated in each specific order. Unless otherwise provided or determined by the Authority, filings submitted in compliance with an order shall constitute satisfaction of the order. Filings requiring Authority approval must be filed as a motion.

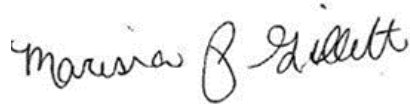
1. On and after the issuance date of this Decision, stakeholder groups shall comply with the application process established in this Decision to apply for Program compensation.

2. On and after the issuance date of this Decision, and upon receipt of the Authority's order to make payment of compensation for reasonable expenditures, public service companies shall make payment to each approved applicant as soon as practicable and within 30 days. The company shall file a confirmation of the completed payment in this docket, stating (1) the relevant docket number and title, (2) the amount paid, (3) the payment date, and (4) the payee and method of payment, but not including financial information or other protected information.

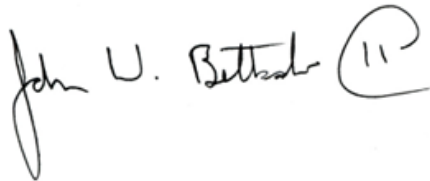
DOCKET NO. 23-09-34

PURA IMPLEMENTATION OF THE STAKEHOLDER
GROUP COMPENSATION PROVISIONS OF
SECTION 15 OF PUBLIC ACT 23-102

This Decision is adopted by the following Commissioners:



Marissa P. Gillett



John W. Betkoski, III



Michael A. Caron

CERTIFICATE OF SERVICE

The foregoing is a true and correct copy of the Decision issued by the Public Utilities Regulatory Authority, State of Connecticut, and was forwarded by Certified Mail to all parties of record in this proceeding on the date indicated.



Jeffrey R. Gaudiosi, Esq.
Executive Secretary
Public Utilities Regulatory Authority

January 3, 2024

Date

**APPENDIX A – NOTICE OF INTENT TO APPLY FOR STAKEHOLDER GROUP
COMPENSATION**



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY

NOTICE OF INTENT TO APPLY FOR STAKEHOLDER GROUP COMPENSATION

Instructions:

The Public Utilities Regulatory Authority (Authority or PURA) oversees a program to award compensation to eligible stakeholder groups. See Public Act No. 23-102, § 15. This Notice of Intent to Apply for Stakeholder Group Compensation (Notice) must be served on every party, intervenor, or participant **at the same time or before the filing of your Application for Stakeholder Group Compensation** (Application) in a proceeding, investigation, or rulemaking before the Authority.

This completed Notice must be filed as correspondence¹ in (1) the relevant docket and (2) Docket No. 23-09-34, PURA Implementation of the Stakeholder Group Compensation Provisions of Section 15 of Public Act 23-102.

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: _____

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

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 of the Application)

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 document is true and accurate to the best of my knowledge.

(Signature)

(Date)

APPENDIX B – APPLICATION FOR STAKEHOLDER GROUP COMPENSATION



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 motion¹ 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.

¹ 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.

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)*

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) 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.

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.

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:

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)

APPENDIX C – STAKEHOLDER GROUP COMPENSATION ITEMIZED BUDGET



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY

STAKEHOLDER GROUP COMPENSATION ITEMIZED BUDGET

Instructions:

You may request payment for reasonable attorneys' fees, reasonable expert witness fees, and other reasonable costs for preparation and participation. Compensation will not be awarded for expenses not accompanied by documentation.

Please use the template below, including additional pages as necessary. Attach all available invoices, quotes, and estimates relating to each expense. Please combine all available invoices, quotes, and estimates into one attachment, if possible.

If advance payment is requested because of a significant financial hardship, provide the date, if known, when the payment will be due.

I. Applicant Information

1. Stakeholder Group Name: _____
2. Docket Number: _____
3. Docket Name: _____

II. Budget Template

Expense	Amount	Description	Incurred or Planned Expense?	Invoice, Quote, or Estimate Attached?	Advance Payment Sought?	Date Due (If Advance Payment Sought)
Expert witness fee, Jane Doe	\$ 300.00	2 hours at \$150/hour, subject to cross-examination by Authority staff	Planned	Invoice	✓	11/19/2023
Attorney Fee, Terry Smith	\$1,400.00	7 hours at \$200/hour, review of case law and docket	Planned	Estimate		
Attorney Fee, Terry Smith	\$ 875.00	3.5 hours at \$250/hour, Atty. Smith will attend the October 2 technical meeting to conduct cross-examination of the X panel	Planned	Estimate		
Total Amount:	\$ 0.00					

Expense	Amount	Description	Incurred or Planned Expense?	Invoice, Quote, or Estimate Attached?	Advanced Payment Sought?	Date Due (If Advance Payment Sought)
Total Amount:	\$ 0.00					

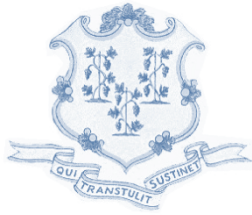
Signature of Authorized Representative

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 document is true and accurate to the best of my knowledge. I understand that compensation may be denied due to failure to provide the required information and supporting documentation.

(Signature)

(Date)

APPENDIX D – AGREEMENT TO PROVIDE EVIDENCE OF SUBSTANTIAL CONTRIBUTION AND ITEMIZED EXPENDITURES



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY

AGREEMENT TO PROVIDE EVIDENCE OF SUBSTANTIAL CONTRIBUTION AND ITEMIZED EXPENDITURES

Instructions:

The Public Utilities Regulatory Authority (Authority or PURA) oversees a program to award compensation to eligible stakeholder groups. See Public Act No. 23-102, § 15. This Agreement to Provide Evidence of Substantial Contribution and Itemized Expenditures must be filed no later than 7 days after notification of authorization to receive compensation as a comment on the stakeholder group's application motion in Docket No. 23-09-34.

I. Applicant Information

1. Stakeholder Group Name: _____
2. Docket Number: _____
3. Docket Name: _____

II. Agreement

I understand that advance payments of compensation must be returned if not used for participation resulting in a substantial contribution.

I understand that a stakeholder group must maintain an itemized record of all expenditures and return unused compensation to the Authority.

I understand that a stakeholder group may be required to return all or part of any advance payment if the group discontinues its participation without Authority consent.

I agree to provide the following required information and supporting documentation no later than 30 days after a final decision in the relevant proceeding.

- An itemized record of all expenditures, including 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. See Application, questions 18, 21.
- A completed Evidence of Substantial Contribution Form (see Application, question 22), including the following:
 - A detailed narrative of how the stakeholder group substantially contributed to the proceeding and the final decision.
 - A summary of an assessment of the impact of the stakeholder group's participation on the proceeding and its outcomes.
 - A list of hyperlinks to all submissions in the docket.
 - A list of times that the group engaged in the process.
 - A record of any public outreach or engagement with relevant stakeholders outside of the PURA process.

III. 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 document is true and accurate to the best of my knowledge.

(Signature)

(Date)

APPENDIX E – EVIDENCE OF SUBSTANTIAL CONTRIBUTION



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY

EVIDENCE OF SUBSTANTIAL CONTRIBUTION

Instructions:

The Public Utilities Regulatory Authority (Authority or PURA) oversees a program to award compensation to eligible stakeholder groups. See Public Act No. 23-102, § 15. This Evidence of Substantial Contribution must be filed as a comment¹ on the stakeholder group's application motion in Docket No. 23-09-34, no later than 30 days after a final decision is issued in the relevant proceeding.

Provide the following supplementary materials to support your Application for Stakeholder Group Compensation (Application).

Applicant Information

1. Stakeholder Group Name: _____
2. Docket Number: _____
3. Docket Name: _____

Budget Materials

Costs Incurred

4. As required by Question 18 of the Application, 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 sought for recovery.

Amount of compensation sought for such costs: _____

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

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

Petition for Significant Financial Hardship

5. As required by Question 21 of the Application, 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 sought for recovery.

Amount of compensation sought for such costs: _____

Amount of advance compensation received: _____

Amount of additional compensation requested: \$ 0.00

Unused compensation to be refunded to PURA: \$ 0.00

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

Substantial Contribution

6. As required by Question 22 of the Application, no later than 30 days after a final decision is issued in the relevant proceeding, any stakeholder group authorized to receive compensation must provide the following information.

(a) A detailed narrative regarding the stakeholder group's participation, including the impact 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:

(d) A record of any public outreach or engagement with relevant stakeholders outside of the PURA process:

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 document is true and accurate to the best of my knowledge. I understand that compensation may be denied due to failure to provide the required information and supporting documentation.

(Signature)

(Date)

**APPENDIX F – STAKEHOLDER GROUP COMPENSATION ITEMIZED
EXPENDITURES**



STATE OF CONNECTICUT

PUBLIC UTILITIES REGULATORY AUTHORITY

STAKEHOLDER GROUP COMPENSATION ITEMIZED EXPENDITURES

Instructions:

You may request payment for reasonable attorneys' fees, reasonable expert witness fees, and other reasonable costs for preparation and participation. Compensation will not be awarded for expenses not accompanied by documentation.

Please use the template below, including additional pages as necessary. Attach all invoices and receipts relating to each expense. Please combine all invoices and receipts into one attachment, if possible.

I. Applicant Information

1. Stakeholder Group Name: _____
2. Docket Number: _____
3. Docket Name: _____

II. Expenditures Template

Expense	Amount	Description	Incurred or Planned Expense?	Invoice or Receipt Attached?	Advance Payment Sought?	Change from Budget?	Difference
Expert witness fee, Jane Doe	\$ 450.00	3 hours at \$150/hour, subject to cross-examination by Authority staff	Incurred	Receipt	✓	More hours	\$ 150.00
Attorney Fee, Terry Smith	\$1,200.00	6 hours at \$200/hour, review of case law and docket	Incurred	Invoice		Fewer hours	(\$200.00)
Attorney Fee, Terry Smith	\$ 875.00	3.5 hours at \$250/hour, Atty. Smith attended the October 2 technical meeting to conduct cross-examination of the X panel	Incurred	Invoice		None	\$ 0.00
Total Amount:	\$ 0.00						

Expense	Amount	Description	Incurred or Planned Expense?	Invoice or Receipt Attached?	Advanced Payment Sought?	Change from Budget?	Difference
Total Amount:	\$ 0.00						

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 document is true and accurate to the best of my knowledge. I understand that compensation may be denied due to failure to provide the required information and supporting documentation.

(Signature)

(Date)