

## Corporation Commission - Rules of Practice and Procedure

## TITLE 14. PUBLIC SERVICE CORPORATIONS; CORPORATIONS; SECURITIES REGULATION

## CHAPTER 3. CORPORATION COMMISSION

## RULES OF PRACTICE AND PROCEDURE

**ARTICLE 1. RULES OF PRACTICE AND PROCEDURE  
BEFORE THE CORPORATION COMMISSION**

## Section

- R14-3-101. Scope and construction of rules, special orders  
 R14-3-102. Filing, fees, communications, hearing calendar and general provisions  
 R14-3-103. Parties  
 R14-3-104. Appearances, rights of parties, representation by attorney, conduct and former employees  
 R14-3-105. Intervention as party and other appearances  
 R14-3-106. Formal documents, requirement and timeliness, motions, informal complaints and protests  
 R14-3-107. Filing and service of formal documents  
 R14-3-108. Prehearing conference  
 R14-3-109. Hearings, prehearings, conduct of hearings, procedure, evidence, subpoenas, briefs, arguments, official notice and rulings  
 R14-3-110. Hearing officer recommendations, service of recommendations, decisions and orders  
 R14-3-111. Rehearings in cases relating to the regulation of public service corporations  
 R14-3-112. Rehearings in cases relating to the regulation of securities and corporations  
 R14-3-113. Unauthorized communications

**ARTICLE 2. RULES OF PRACTICE AND PROCEDURE  
BEFORE POWER PLANT AND TRANSMISSION LINE  
SITING COMMITTEE**

## Section

- R14-3-201. Sessions of the committee  
 R14-3-202. Parties  
 R14-3-203. Applications  
 R14-3-204. Intervention  
 R14-3-205. Notice and service requirements  
 R14-3-206. Record of proceeding  
 R14-3-207. Amendment of documents  
 R14-3-208. Hearings  
 R14-3-209. Extensions of time  
 R14-3-210. Witnesses and subpoenas  
 R14-3-211. Documentary evidence  
 R14-3-212. Transcript of testimony  
 R14-3-213. Decision of committee and certificate  
 R14-3-214. Review of committee decision  
 R14-3-215. Computation of time -- holidays  
 R14-3-216. Application of Rules of Civil Procedure  
 R14-3-217. Office and address  
 R14-3-218. Filing fees  
 R14-3-219. Form of application for certificate of environmental compatibility (pursuant to A.R.S. §§ 40-360.03 and 40-360.06)  
 R14-3-220. Unauthorized communications  
 Exhibit 1. Exhibits to Application

**ARTICLE 1. RULES OF PRACTICE AND PROCEDURE  
BEFORE THE CORPORATION COMMISSION**

*The Arizona Corporation Commission, by virtue of the powers in it vested under the Constitution and the laws of the state of Arizona, does hereby promulgate these Rules of Practice and Procedure.*

*The Commission hereby repeals administrative rules and regulations, Title 14, Chapter 3, Article 1, also known as General Order 255 and does hereby adopt a new Title 14, Chapter 3, Article 1.*

*The revised Rules of Practice and Procedure adopted herein shall be effective for all proceedings held by the Commission subsequent to January 1, 1976.*

**R14-3-101. Scope and construction of rules, special orders**

- A.** Procedure governed. Except as may be otherwise directed by the Commission, and when not in conflict with law or the regulations or orders of this Commission, these Rules of Practice and Procedure shall govern in all cases before the Corporation Commission including but not limited to those arising out of Article XV of the Arizona Constitution, or Titles 10, 40, or 44 of the Arizona Revised Statutes. In all cases in which procedure is set forth neither by law, nor by these rules, nor by regulations or orders of the Commission, the Rules of Civil Procedure for the Superior Court of Arizona as established by the Supreme Court of the state of Arizona shall govern. Notwithstanding any of the above, neither these rules nor the Rules of Civil Procedure shall apply to any investigation by the Commission, any of its divisions or its staff.
- B.** Liberal construction -- waiver. These rules shall be liberally construed to secure just and speedy determination of all matters presented to the Commission. If good cause appears, the Commission or the presiding officer may waive application of these rules when not in conflict with law and does not affect the substantial interests of the parties.
- C.** Rate hearing procedure for gas, electric, telephone, telegraph, water and sewer corporations. Special orders of the Commission shall govern over these rules in matters regarding notice, intervention, service of pleadings and exhibits, and discovery for gas, electric, telephone, telegraph, water and sewer corporation rate hearing.

**Historical Note**

Former Section R14-3-01 repealed, new Section R14-3-01 adopted effective December 17, 1975 (Supp. 75-2).  
 Amended effective March 13, 1979 (Supp. 79-2).

**R14-3-102. Filing, fees, communications, hearing calendar and general provisions**

- A.** Offices. The principal office of the Commission is in Phoenix, Arizona. A branch office of the Commission is maintained in Tucson, Arizona.
- B.** Place of filing. Formal documents and other papers required to be filed with the Commission shall be addressed to the Commission and not to an individual, may be transmitted by mail or express, or otherwise delivered, but must be received for filing at its offices in Phoenix or Tucson, Arizona, within the time limit, if any, for such filing. All formal documents and other papers filed with the Commission shall be limited in size to 8 1/2 x 11 inches.
- C.** Correspondence and communication. Communications should contain the name and address of the correspondent and the appropriate certificate number, permit number, docket number, title of proceeding and case number, if any, pertaining to the subject of the communication.
- D.** Docket numbers and title. Each matter coming before the Commission shall be given a docket number and title, descriptive of the subject matter.

## Corporation Commission - Rules of Practice and Procedure

- E. Fees and remittances. Fees and remittances to the Commission shall be by money order, bank draft or check payable to "Arizona Corporation Commission". Remittances in currency or coin mailed to the Commission are wholly at the risk of the remitter and the Commission assumes no responsibility for loss thereof. Postage stamps will not be accepted.
- F. Hearing calendar. A hearing calendar will be maintained by the Executive Secretary of the Commission, and hearing assignments shall be noted upon such calendar. A copy of the hearing calendar shall be maintained in the Tucson office of the Commission and both such calendars shall be open for public inspection during regular business hours of the Commission.
- G. Presiding officer. Within the context of these rules "Presiding Officer" shall mean a Commissioner or Hearing Officer conducting a hearing.

**Historical Note**

Former Section R14-3-102 repealed, new Section R14-3-102 adopted effective December 17, 1975 (Supp. 75-2).  
Amended subsection (B) effective July 8, 1980 (Supp. 80-4).

**R14-3-103. Parties**

- A. Classification of parties. Parties to any proceeding before the Commission shall consist of and shall be designated "Applicant", "Complainant", "Respondent", "Intervenor", or "Protestant" according to the nature of the proceedings and the relationship of the party thereto.
- B. Applicant. Any person requesting a certificate, permit, other authority or any affirmative relief other than a complainant shall be designated "Applicant".
- C. Complainant. Any person complaining pursuant to any statute or any rule or order of the Commission shall be designated "Complainant".
- D. Respondent. Any person against whom a complaint or petition is filed or any person who may be subject to having any schedule, rate or tariff forfeited or revoked by the Commission, shall be designated as "Respondent".
- E. Intervenor. Any person permitted to intervene in any proceeding shall be designated "Intervenor".
- F. Protestant. Any person permitted to protest in any proceeding shall be designated "Protestant".
- G. Two or more complainants. Two or more complainants may join in one complaint if their respective complaints are against the same respondent or respondents and involve substantially the same matter or thing and a like state of facts.
- H. Multiple respondents. If complaint be made of tariffs, rates, fares, charges, regulations or practices involving more than one public service corporation, all such public service corporations shall be made respondents.
- I. Receivers and trustees. The receiver or trustee of any person subject to the orders of this Commission shall be a party in any proceeding affecting such person and shall be designated as herein provided.

**Historical Note**

Former Section R14-3-103 repealed, new Section R14-3-103 adopted effective December 17, 1975 (Supp. 75-2).

**R14-3-104. Appearances, rights of parties, representation by attorney, conduct and former employees**

- A. Rights of parties. At a hearing a party shall be entitled to enter an appearance, to introduce evidence, examine and cross-examine witnesses, make arguments, and generally participate in the conduct of the proceeding.
- B. Taking of appearances. Parties shall enter their appearances at the beginning of a hearing or at any time as may be designated

by the presiding officer or by order of the Commission by giving their names and addresses for the record and stating their position or interest.

- C. Designation of classes, parties. When two or more parties have substantially like interests and positions, the presiding officer may declare them a class of parties present and appearing for purposes of the hearing. The members of a class shall designate one of their number to be representative of a class in the hearing. If the members of a class cannot agree on a representative, the presiding officer may designate one of them to be representative of the class. The presiding officer may deem participation by other members of the same class to be cumulative and may restrict its presentation accordingly. More than one class may be established for a hearing.
- D. Notice. Whenever under these rules service is required or permitted to be made upon a party represented by an attorney, the service shall be made upon the attorney unless service upon the party is ordered by the Commission. Service upon the attorney or upon a party shall be made by delivering or mailing a copy to him at his last known address, unless the Commission otherwise specifies.
- E. Withdrawal of attorney. The Commission or presiding officer may permit the withdrawal of an attorney from any proceeding upon written application and good cause shown under such terms, conditions, and notices to clients and other parties as the Commission or presiding officer may direct. Oral application for withdrawal may be made during any open proceeding which is being reported.
- F. Conduct required
  1. All persons appearing before the Commission or a presiding officer in any proceeding shall conform to the conduct expected in the Superior Court of the state of Arizona.
  2. Any alleged inappropriate conduct before a Commissioner or a Hearing Officer shall be referred to the Commission for appropriate action.
  3. Contemptuous conduct by any person appearing at a hearing shall be grounds for his exclusion by the presiding officer from the hearing.
  4. If the Commission finds that any person has committed any improper or contemptuous conduct in any hearing before the Commission or a presiding officer, the Commission may impose such penalties provided by law that it deems appropriate.
- G. Former employees. No former employee of the Commission shall appear at any time after severing his employment with the Commission as a witness on behalf of other parties in a formal proceeding wherein he previously took an active part in the investigation or preparation as a representative of the Commission, except with the written permission of the Commission.

**Historical Note**

Former Section R14-3-104 repealed, new Section R14-3-104 adopted effective December 17, 1975 (Supp. 75-2).  
Amended effective May 8, 1981 (Supp. 81-3).

**R14-3-105. Intervention as party and other appearances**

- A. Intervention. Persons, other than the original parties to the proceedings, who are directly and substantially affected by the proceedings, shall secure an order from the Commission or presiding officer granting leave to intervene before being allowed to participate.
- B. Application. An application for leave to intervene shall be in writing and must state the basis for the application. Such application shall be served and filed by an applicant at least five days before the proceeding is called for hearing. No applica-

## Corporation Commission - Rules of Practice and Procedure

tion for leave to intervene shall be granted where by so doing the issues theretofore presented will be unduly broadened, except upon leave of the Commission first had and received. Upon the granting of an application to intervene by the Commission or the presiding officer, the intervening person shall thereafter be designated an "Intervenor".

- C. Other appearances. Notwithstanding the provisions of subsections R14-3-105(A) and R14-3-105(B), any consumer or prospective consumer may appear at any proceeding and make a statement on his own behalf, at a time designated by the Commission or presiding officer. A person so appearing shall not be deemed a party to the proceedings. When two or more interested persons under this rule have substantially like interests and positions, the presiding officer may declare them a class of interested persons for purposes of the hearing. The members of the class shall designate to be spokesman for the class one of their number, or his attorney, or such greater of their number, or attorneys, as the presiding officer shall determine. More than one class may be established for a hearing.

**Historical Note**

Former Section R14-3-105 repealed, new Section R14-3-105 adopted effective December 17, 1975 (Supp. 75-2).

**R14-3-106. Formal documents, requirement and timeliness, motions, informal complaints and protests**

- A. Formal documents. Formal documents include applications, complaints, answers, motions, replies and protests.
- B. Verification. Applications, complaints and answers need not be verified unless required by law.
- C. Form. Formal documents shall be typewritten, reproduced or printed, properly captioned and signed by an appropriate authorized individual, officer or attorney. Formal documents shall state the name and address of each party thereto and shall clearly identify the proceedings by docket number and title.
- D. Defective filing. No case need be set for hearing wherein any data required by statute or by General Order of this Commission has not been furnished by applicant.
- E. Amendments to formal documents. The Commission or presiding officer, in his discretion, may allow any formal document to be amended or corrected. Formal documents will be liberally construed and defects which do not affect substantial rights of the parties will be disregarded. The Commission or presiding officer shall cause parties or formal documents to be redesignated whenever necessary in accordance with these rules.
- F. Applications. A request for a right, authority or other affirmative relief (other than by complaint or counterclaim) or a request for leave to intervene shall be designated an "Application". The application shall set forth the name and post office address of the applicant and shall contain the facts upon which the application is based, with such exhibits as may be required or deemed appropriate by the applicant.
- G. Application for rehearing. A request for rehearing, filed either under R14-3-111 or R14-3-112, shall be designated as an "Application for Rehearing". Applications filed under R14-3-111 shall be governed by the provisions of that rule and A.R.S. § 40-253. Applications filed under R14-3-112 shall be governed by that rule.
- H. Answers. Answers to complaints are required and must be filed within 20 days after the date on which the complaint is served by the Commission, unless otherwise ordered by the Commission. All answers shall be full and complete and shall admit or deny specifically and in detail each allegation of the complaint to which such answer is directed. The answer shall include a motion to dismiss if a party desires to challenge the sufficiency of the complaint.

- I. Protests. Unless otherwise provided by special order of the Commission, a person who may be adversely affected by an application shall have the right to file a written protest with the Commission or be heard orally as a protestant at a public hearing.
- J. Response to application when required by Commission. After the filing of an Application, the Commission in its discretion may make any public service corporation or other person subject to its jurisdiction, a party to the proceedings and may require such person or corporation to respond to the allegations of the Application.
- K. Motions. Motions shall conform insofar as practicable with the Rules of Civil Procedure for the Superior Court of the state of Arizona.
- L. Formal complaints. Complaints shall be in writing and shall contain the name and address of the complainant, the name of the person or company against whom complaint is made, a complete statement of the grounds for said complaint, indicating the date or dates of the commission or omission of the acts or things complained of, and the nature of the relief sought by the complainant. The complaint shall be signed by the complainant, or by one of the complainants if there be more than one, or by an officer of the complainant if the complainant be a corporation, association or other organization, or for the complainant by an agent or attorney. If the complainant has an attorney, his name and address shall appear in the complaint and he shall sign the complaint.
- M. Informal complaints
1. Informal complaints may be made by letter or other writing. No particular form is required; however, the writing must clearly state the matters complained of and must satisfactorily identify the party complained against. It need not be verified but must be signed by the complainant or attorney and show the address of the complainant and his attorney if he has one.
  2. Informal complaints may be handled by the Commission or staff, by correspondence or otherwise, with the parties affected in an endeavor to bring about a speedy adjustment of the complaint without formal hearing. Informal procedure is recommended in all cases except those which clearly cannot be adjusted informally. Proceedings on informal complaints will be conducted without prejudice to the complainant's right to file and prosecute a formal complaint if the matter cannot be properly adjusted informally, in which event the proceeding on the informal docket will be discontinued. A formal complaint must thereafter be filed if a hearing is desired.

**Historical Note**

Former Section R14-3-106 repealed, new Section R14-3-106 adopted effective December 17, 1975 (Supp. 75-2). Amended effective March 13, 1979 (Supp. 79-2).

**R14-3-107. Filing and service of formal documents**

- A. Formal documents. An original and three legible copies of all formal documents shall be filed with the Commission. One copy shall be served on any person who is already a party to the proceeding. In addition, the Commission may direct that a copy of any such documents shall be made available by the party filing same to any person whom the Commission may specify.
- B. Manner of service. Except as provided in R14-3-103(B) or unless otherwise ordered by the Commission or otherwise provided by law, all notices, orders to show cause, opinions and orders required to be served by the Commission and all documents filed by any party may be served by mail, and service thereof shall be deemed complete when a true copy of such

paper or document, properly addressed and stamped, is deposited in the United States mail with first class postage prepaid.

- C. Proof of service. There shall appear on all documents required to be served by a party an acknowledgement of service or the following certificate:

I hereby certify that I have this day served the foregoing documents on all parties of record in this proceeding (by delivering a copy thereof in person to \_\_\_\_\_.)

(By mailing a copy thereof, properly addressed with first class postage prepaid to \_\_\_\_\_.)

Dated at \_\_\_\_\_, Arizona, this \_\_\_\_ day of \_\_\_\_\_, 19 \_\_\_\_

(Signature)

**Historical Note**

Former Section R14-3-107 repealed, new Section R14-3-107 adopted effective December 17, 1975 (Supp. 75-2).

**R14-3-108. Prehearing conference**

- A. Procedure. The Commission or presiding officer upon its own motion or upon motion of any party and upon written notice to all parties of record, may direct that a prehearing conference shall be held for the purposes of formulating or simplifying the issues, obtaining admissions of fact and of documents which will avoid unnecessary proof, arranging for the exchange of proposed exhibits or prepared expert testimony, limitation of number of witnesses and consolidation of the examination of witnesses, procedure at the hearing and such other matters which may expedite orderly conduct and disposition of the proceedings or settlements thereof.
- B. Action taken. The action taken at such conference and the agreements made by the parties concerned shall be made a part of the record and, if approved by the parties, such action will control the course of subsequent proceedings, unless modified at the hearing by the presiding officer.
- C. Recessing hearing for conference. In any proceeding the presiding officer, in his discretion, may call all parties together for a conference prior to the taking of testimony, or may recess the hearing for such conference, with the view of carrying out the purpose of this rule. The presiding officer shall state on the record the results of such conference.

**Historical Note**

Former Section R14-3-108 repealed, new Section R14-3-108 adopted effective December 17, 1975 (Supp. 75-2).

**R14-3-109. Hearings, prehearings, conduct of hearings, procedure, evidence, subpoenas, briefs, arguments, official notice and rulings**

- A. Procedure. Hearings will be held before one or more Commissioners, one or more Hearing Officers, or any combination thereof. Notice of the place, date and hour of the hearing will be served by the Commission at least ten days before the time set therefor, unless otherwise provided by law or as ordered by the Commission.
- B. Publication of notice of hearings. Publication of notice of hearings shall be as required by law or as ordered by the Commission in a particular proceeding. If publication is required, affidavit of publication shall be filed with the Arizona Corporation Commission at or prior to the time of initial hearing.
- C. Dismissal of proceeding. The Commission may dismiss the application or complaint with or without prejudice or may recess said hearing for a further period to be set by the Commission. A single Commissioner or a Hearing Officer may adjourn or recess a hearing at any time to submit a recommen-

ation to the Commission to dismiss the proceeding, or may recess said hearing for a further period to be set by the Commission.

- D. Preliminary procedure. The presiding officer shall call the proceeding for hearing and proceed to take the appearances and act upon any pending motions or applications. The parties may then make opening statements if they desire.
- E. Conduct at hearings. All parties to hearings, their counsel and spectators will conduct themselves in a respectful manner. Smoking shall not be permitted at formal hearings of the Commission.
- F. Testimony under oath. All testimony to be considered by the Commission in formal hearings shall be under oath, except matters of which judicial notice is taken or entered by stipulation.
- G. Order of procedure. Applicants or complainants (each of whom must carry the burden of proof) shall present their evidence and then such parties as may be opposing the application or complaint shall submit their evidence. The presiding officer shall determine the order in which parties shall introduce their evidence. Intervenors shall, insofar as possible, follow the party with respect to whom their interests are most closely identified. If the intervention is not in support of either original party, the presiding officer shall designate at which stage such intervenors shall be heard. Evidence will ordinarily be received in the following order unless otherwise directed by the presiding officer:

Upon applications

- Applicant
- Intervenors or protestants
- Commission staff

Upon formal complaints

- Complainant
- Respondent
- Commission staff
- Intervenors

Upon complaints by Commission

- Commission staff
- Respondent
- Intervenors

Examination of witnesses shall proceed as follows:

- Direct examination by applicant
- Cross-examination by each protestant or intervenor
- Cross-examination by staff
- Examination by presiding officer of Commissioners
- Re-direct examination by applicant
- Re-cross examination as permitted by the presiding officer
- Examination by presiding officer or Commissioners
- Opening and closing statements may be allowed

Once a party has rested his case he shall not be allowed to introduce further evidence without consent of the presiding officer.

- H. Consolidation. The Commission or the presiding officer may consolidate two or more proceedings in one hearing when it appears that the issues are substantially the same and that the rights of the parties will not be prejudiced by such procedure. At such consolidated hearing the presiding officer shall determine the order in which all the parties shall introduce their evidence and which party or parties shall open and close.
- I. Limiting number of witnesses. To avoid unnecessary cumulative evidence, the presiding officer may limit the number of witnesses or the time for testimony upon a particular issue.
- J. Stipulations. With the approval of the presiding officer, the parties may stipulate as to any fact at issue, either by written stipulation introduced in evidence as an exhibit or by oral

## Corporation Commission - Rules of Practice and Procedure

statement shown upon the record and such stipulation shall be binding upon all parties thereto. The Commission or presiding officer, may, however, require proof by evidence of the facts stipulated to, notwithstanding the stipulation of the parties.

- K.** Rules of evidence. In conducting any investigation, inquiry or hearing, neither the Commission nor any officer or employee thereof shall be bound by the technical rules of evidence, and no informality in any proceeding or in the manner of taking of testimony shall invalidate any order, decision, rule or regulation made, approved or confirmed by the Commission. Rules of evidence before the Superior Court of the state of Arizona will be generally followed but may be relaxed in the discretion of the Commission or presiding officer when deviation from the technical rules of evidence will aid in ascertaining the facts.
- L.** Documentary evidence. Unless otherwise ordered by the Commission or presiding officer and if practicable, exhibits should be limited in size when folded to 8 1/2 x 11 inches. A copy of each documentary exhibit shall be furnished to each party of record present, and three additional copies shall be furnished for the use of the Commission unless the Commission or presiding officer otherwise directs. Where relevant and material matter offered in evidence is embraced in a written or printed statement, book or document of any kind containing other matter not material or relevant and not intended to be put in evidence, such statement, book or document in whole shall not be received or allowed to be filed, but counsel and other parties offering the same shall present in convenient and proper form for filing a copy of such material and relevant matter, or at the discretion of the presiding officer, read the same into the record, and that only shall be received and allowed to be filed as evidence and made a part of the record. Whenever practicable, or when ordered by the Commission or presiding officer, the parties shall interchange copies of exhibits before or at the hearing. Any documentary evidence offered, whether in the form of exhibit or introduced by reference, shall be subject to appropriate and timely objection.
- M.** Prepared testimony. The Commission may order the prefilming and service of testimony and exhibits. Before any prepared testimony is read, unless excused by the presiding officer, the witness shall deliver copies thereof to the presiding officer, the court reporter, and all counsel or parties. Admissibility shall be subject to the rules governing oral testimony. If the presiding officer deems that substantial saving in time will result, he may direct prepared testimony be copied into the record without reading.
- N.** Resolutions. Resolutions properly authenticated by the governing bodies of a governmental entity will be received in evidence if offered at the hearing by the president, secretary, or other proper person. Such resolutions shall be received subject to rebuttal by adversely affected parties as to either the authenticity of the resolution or the circumstances surrounding its procurement. Recitals of fact contained in resolutions shall not be deemed proof of those facts, and such resolutions shall only be received for the limited purpose of showing the expression of the official action of the resolving body with respect to the matter under consideration in the proceeding.
- O.** Subpoenas. Subpoenas requiring the attendance of a witness from any place in the state of Arizona to any designated place of hearing for the purpose of taking testimony of such witnesses orally before the Commission may be issued upon application in writing. A subpoena may also command the person to whom it is directed to produce books, papers, documents or tangible things designated therein. The application for such subpoenas must specify, as clearly as possible, the books, waybills, papers, accounts or other documents desired.
- The Commission or presiding officer, upon motion made promptly and, in any event, at or before the time specified in the subpoena for compliance therewith may:
1. Quash the subpoena if it is unreasonable or oppressive, or
  2. Condition denial of the motion upon the advancement by the person in whose behalf the subpoena is issued, of the reasonable cost of producing the books, waybills, papers, accounts or other documents desired.
- Witnesses who are summoned are entitled to the same fees as are paid for like service in the courts of the state of Arizona, such fees to be paid by the party at whose instance the witness is subpoenaed. If service of subpoena is made by an officer of the state or his deputy, such service shall be evidenced by his return thereon. In case of failure to make service, the reasons for the failure shall be stated on the original subpoena. In making service the original subpoena shall be exhibited to the person served, shall be read to him if he is unable to read, and a copy thereof shall be left with him. The original subpoena, bearing or accompanied by the required return, shall be returned forthwith to the Commission.
- P.** Depositions. The Commission, a Commissioner, or any party to any proceeding before it may cause the depositions of witnesses to be taken in the manner prescribed by law and of the civil procedure for the Superior Court of the state of Arizona.
- Q.** Continuance. Either prior to hearing or during a hearing, and on a showing of good cause, a matter may be continued by the Commission or the presiding officer for submission of further or additional evidence or for any other proper purpose.
- R.** Briefs. In any hearing, briefs may be ordered by the Commission or presiding officer to be filed within such time as may be allowed. Four copies of briefs shall be filed with the Commission and shall be accompanied by a proof of service showing service on other parties of record.
- S.** Oral argument. Following the filing of briefs or upon contested motions, the presiding officer may set the matter for oral argument.
- T.** Official notice. The presiding officer may take official notice of the following matters:
1. Rules, regulations, official reports, decisions and orders of the Commission and any regulatory agency of the state of Arizona.
  2. Contents of decisions, orders, certificates and permits issued by the Commission.
  3. Matters of common knowledge and technical or scientific facts of established character.
  4. Official documents, if pertinent, when properly introduced into the record of formal proceedings by reference; provided, however, that proper and definite reference to such document shall be made by the party offering the same and that the same is published and generally circulated so that an opportunity shall be given to all of the parties of interest at the hearing to examine the same and present rebuttal evidence.
  5. Such other matters as may be judicially noticed by the Courts of the state of Arizona.
- U.** Reliance on other records in Commission's files. When a party desires to offer in evidence any portion of the testimony, exhibits, order, decision or record in any other proceeding before the Commission, such portion shall be plainly designated in the stenographic record and, if admitted, shall be deemed to be a part of the testimony in the immediate proceeding without physical production and marking for identification.
- V.** Open hearings. All hearings conducted pursuant to these rules shall be open to the public.

## Corporation Commission - Rules of Practice and Procedure

- W. Transcripts. The Commission will cause a stenographic record to be made of all public hearings. Parties desiring copies of such transcript may purchase same from the court reporter.
- X. Objections and rulings. When objections are made to the admission or exclusion of evidence, the grounds relied upon shall be stated briefly. The presiding officer shall rule on the admissibility of all evidence.
- Y. Offer of proof. An offer of proof for the record shall consist of a statement of the substance of the evidence to which objection has been sustained.
- Z. Documents in the docket file as evidence for the record. The docket file is a public record and, as such, is available and open to inspection to all. Any document in such file shall not be considered unless same is offered and accepted in evidence. Such document need not be produced as an exhibit but may be received in evidence by reference, provided that the particular portions of such document are specifically identified and are competent, relative and material. If testimony in proceedings other than the one being heard is offered in evidence, a copy thereof shall be presented as an exhibit, unless otherwise ordered by the presiding officer.

**Historical Note**

Former Section R14-3-109 repealed, new Section R14-3-109 adopted effective December 17, 1975 (Supp. 75-2).  
Amended subsection (L) effective July 8, 1980 (Supp. 80-4).

**R14-3-110. Hearing officer recommendations, service of recommendations, decision and orders**

- A. Decisions. A proceeding is submitted for decision by the Commission after taking of evidence, the filing of briefs or the presentation of oral argument as may have been prescribed by the presiding officer.
- B. Recommendations of Hearing Officers. In a proceeding heard by a Hearing Officer, the Hearing Officer shall prepare his recommendation which may be in the form of an opinion and order, unless otherwise directed by the Commissioners. Such recommendation by the Hearing Officer shall become part of the Docket. Upon prior written request by a party to the Executive Secretary, a copy of such recommendation shall be sent to such party by the Executive Secretary. Such proposed order shall include recommended findings, conclusions, and order, which may be narrative form at the discretion of the Hearing Officer.  
Any party to the proceeding may serve and file five copies of exceptions to the proposed order within ten days after service thereof. There shall be no reply to exceptions and the proposed order and any exceptions filed shall be submitted to the Commission for its consideration.  
Any party to a proceeding may offer at the conclusion of the hearing, a proposed order, with Findings of Fact and Conclusions of Law for consideration by the Commission, or Hearing Officer.
- C. Service of orders. Except as otherwise provided by law, conformed copies of orders of the Commission shall be served by mailing copies thereof to the parties of record or their representatives or by personal service thereof.

**Historical Note**

Former Section R14-3-110 repealed, new Section R14-3-110 adopted effective December 17, 1975 (Supp. 75-2).

**R14-3-111. Rehearings in cases relating to the regulation of public service corporations**

All applications filed under A.R.S. § 40-253 for further hearings, rehearings, re-arguments, reconsideration or modification of orders issued in proceedings arising out of Article XV of the Constitution

or Title 40 of Arizona Revised Statutes with respect to the Commission's regulation of public service corporations shall be filed within 20 days from the date of the order of the Commission.

**Historical Note**

Former Section R14-3-111 repealed, new Section R14-3-111 adopted effective December 17, 1975 (Supp. 75-2).  
Amended effective March 13, 1979 (Supp. 79-2).

**R14-3-112. Rehearings in cases relating to the regulation of securities and corporations**

- A. Except as provided in subsection (G), any party in a contested case before the Commission arising out of Title 10 or 44 of Arizona Revised Statutes, who is aggrieved by a decision rendered in such case may file with the Commission, not later than ten days after service of the decision, a written application for rehearing or review of the decision specifying the particular grounds therefor. For purposes of this subsection, a decision shall be deemed to have been served when personally delivered or mailed by certified mail to the party at his last known residence or place of business.
- B. An application for rehearing under this rule may be amended at any time before it is ruled upon by the Commission. A response may be filed within ten days after service of such application or amended application by any other party or the staff. The Commission may require the filing of written briefs upon the issues raised in the application and may provide for oral argument.
- C. A rehearing of the decision may be granted for any of the following causes materially affecting the moving party's rights:
  1. Irregularity in the proceedings before the Commission or any order or abuse of discretion, whereby the moving party was deprived of a fair hearing;
  2. Misconduct of the Commission, its staff or its hearing officer or the prevailing party;
  3. Accident or surprise which could not have been prevented by ordinary prudence;
  4. Newly discovered material evidence which could not with reasonable diligence have been discovered and produced at the original hearing;
  5. Excessive or insufficient penalties;
  6. Error in the admission or rejection of evidence or other errors of law occurring at the hearing;
  7. That the decision is not justified by the evidence or is contrary to law.
- D. The Commission may affirm or modify the decision or grant a rehearing as to all or any of the parties and on all or part of the issues for any of the reasons set forth in subsection (C). An order granting a rehearing shall specify with particularity the ground or grounds on which the rehearing is granted, and the rehearing shall cover only those matters so specified.
- E. The Commission, within the time for filing an application for rehearing under this rule, may on its own initiative order a rehearing or review of its decision for any reason for which it might have granted a rehearing on application of a party. After giving the parties notice and an opportunity to be heard on the matter, the Commission may grant an application for rehearing, timely served, for a reason not stated in the application. In either case, the order granting such a rehearing shall specify the ground therefor.
- F. When an application for rehearing is based upon affidavits, they shall be served with the application. An opposing party or the staff may within ten days after such service serve opposing affidavits.
- G. If in a particular decision the Commission makes specific findings that the immediate effectiveness of such decision is necessary for the immediate preservation of the public peace,

## Corporation Commission - Rules of Practice and Procedure

health and safety and that a rehearing or review of the decision is impracticable, unnecessary or contrary to the public interest, the decision may be issued as a final decision without an opportunity for a rehearing or review. If a decision is issued as a final decision without an opportunity for rehearing, any application for judicial review of the decision shall be made within the time limits permitted for applications for judicial review of the Commission's final decision.

**Historical Note**

Former Section R14-3-112 repealed effective December 17, 1975 (Supp. 75-2). New Section R14-3-112 adopted effective March 13, 1979 (Supp. 79-2).

**R14-3-113. Unauthorized communications**

- A.** Purpose. It is the purpose of this rule to assist the members of the Arizona Corporation Commission and its employees in avoiding the possibility of prejudice, real or apparent, to the public interest in proceedings before the Commission and hearings before the Arizona Power Plant and Transmission Line Siting Committee.
- B.** Application. The provisions of this rule apply from the time a contested matter is set for public hearing before the Commission and from the time a notice of siting hearing is published pursuant to R14-3-208(A). The provisions of this rule do not apply to rulemaking proceedings.
- C.** Prohibitions.
1. No person shall make or cause to be made an oral or written communication, not on the public record, concerning the substantive merits of a contested proceeding or siting hearing to a commissioner or commission employee involved in the decision-making process for that proceeding or siting hearing.
  2. No commissioner or commission employee involved in the decision-making process of a contested proceeding or siting hearing shall request, entertain, or consider an unauthorized communication concerning the merits of the proceeding or siting hearing.
  3. The provisions of this rule shall not prohibit:
    - a. Communications regarding procedural matters;
    - b. Communications regarding any other proceedings;
    - c. Intra-agency or non-party communications regarding purely technical and legal matters;
    - d. Comments from the general public;
    - e. Communications among hearing officers, non-party staff and commissioners.
- D.** Remedy.
1. A commissioner or commission employee who receives an oral or written offer of any communication prohibited by this rule must decline to receive such communication and will explain that the matter is pending for determination and that all communication regarding it must be made on the public record. If unsuccessful in preventing such communications, the recipient will advise the communicator that the communication will not be considered, a brief signed statement setting forth the substance of the communication and the circumstances under which it was made, will be prepared, and the statement will be filed in the public record of the case or proceeding.
  2. Any person affected by an unauthorized communication will have an opportunity to rebut on the record any facts or contentions contained in the communication.
  3. If a party to a contested proceeding or siting hearing makes an unauthorized communication, the party may be required to show cause why its claim or interest in the proceeding or siting hearing should not be dismissed,

denied, disregarded, or otherwise adversely affected on account of such violation.

**Historical Note**

Adopted effective January 3, 1986 (Supp. 86-1).  
Amended by final rulemaking at 12 A.A.R. 4181, effective December 25, 2006 (Supp. 06-4).

**ARTICLE 2. RULES OF PRACTICE AND PROCEDURE  
BEFORE POWER PLANT AND TRANSMISSION LINE  
SITING COMMITTEE**

**R14-3-201. Sessions of the committee**

- A.** Sessions of the Committee shall be held at such times and places as the business of the Committee shall require and after notice as provided in these Rules of Practice and Procedure.
- B.** Hearings on applications for certificates of environmental compatibility, in the discretion of the chairman but subject to overruling by a majority of the Committee within five days of notice of his decision, shall be conducted by the Full Committee or by a hearing officer qualified under A.R.S. § 40-360.04(B). There shall be no quorum requirement in the event a hearing is conducted by the full Committee.
- C.** Hearings shall be presided over by a Presiding Officer who shall be either:
1. The chairman or his designee, in the event of a hearing conducted by the full Committee, or
  2. The hearing officer.
- D.** For purposes of these rules, the chairman or his designee shall act as Presiding Officer with respect to each application unless and until a hearing officer is designated in accordance with subsection (B) hereof.
- E.** The powers and duties of the Presiding Officer, in addition to those set forth in these Rules of Practice and Procedure, shall include the authority to:
1. Administer oaths and affirmations.
  2. Rule upon offers of proof and receive relevant evidence.
  3. Take or cause depositions to be taken.
  4. Regulate the course of a hearing.
  5. Hold conferences, prior to the hearings at which time each party shall set forth the issues it wishes to present at the hearing, and during the hearing for the settlement of the issues, and for such other purposes as the Presiding Officer deems appropriate.
  6. Dispose of procedural requests or similar matters.
  7. Examine witnesses.
  8. Set the dates for the submission of transcript corrections.
  9. Mail to each member of the Committee, within five days after the transcript is prepared and delivered, a certified copy of the record of the hearings, including the transcript and reproducible exhibits.
- Effective 2-70.

**Historical Note**

Former General Order U-51, Article I.

**R14-3-202. Parties**

- A.** Parties to the proceedings before the Committee shall be designated "applicants" or "intervenors".
1. Any person seeking a certificate shall be designated "applicant".
  2. Any other person having an interest in a proceeding before the Committee shall be designated "intervenor".
- B.** The Presiding Officer by notice prior to or during the hearing may require the consolidation of the representation of nongovernmental parties having similar interests.
- Effective 2-70.

**Historical Note**

Former General Order U-51, Article II.

**R14-3-203. Applications**

- A. Twenty-five copies of each application for a certificate of environmental compatibility and supporting exhibits and accompanying information shall be filed with the Director of Utilities of the Commission, plus additional copies as may be subsequently requested by the Director of Utilities.
- B. The application shall be in the form prescribed in R14-3-219 of these rules and shall be accompanied by information with respect to the proposed type of facilities and description of the site, including the areas of jurisdiction affected and the estimated cost of the proposed facilities on the site. The application shall be delivered by the Director of Utilities to the chairman of the Committee within five days after the date of filing and shall be mailed to each member of the Committee within ten days of the date of filing.
- C. The "description of the site" referred to in R14-3-203(B) hereof shall be reflected on a map accompanying the application and may be general in nature. It shall not be necessary to include either results of survey or a metes and bounds description.
- D. An application may be filed in the alternative in situations where the applicant is in doubt as to whether an application is required by law. In such instances the application shall request a disclaimer of jurisdiction from the Committee or, in the alternative, a certificate of environmental compatibility.
- E. A copy of the application shall be made available upon request to the Director of Utilities to persons complying with the requirements of R14-3-204 and shall in any event be available for inspection as provided in R14-3-206.
- F. Where applications have been filed for certificates of environmental compatibility by more than one utility for transmission lines to be constructed in the same right-of-way, the Presiding Officer may require the consolidation of hearings on said application.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article III.

**R14-3-204. Intervention**

- A. Any person entitled by A.R.S. § 40-360.05(A) or (C) to become a party to a certification proceeding shall file with the Director of Utilities 25 copies of a notice of intent to be a party, not less than ten days before the date set for the hearing. The notice of intent shall recite the interest of the person in the proceedings.
- B. Any person entitled by A.R.S. § 40-360.05(B) to make a limited appearance in a certification proceeding shall file with the Director of Utilities three copies of a statement in writing, not less than five days before the date set for the hearing, which statement shall set forth its interest in the proceedings.
- C. Persons making a limited appearance pursuant to A.R.S. § 40-360.05(B) shall not be parties for the purposes of these proceedings.
- D. The Presiding Officer may, upon his own motion and notice to all parties to the proceeding ten days prior to the date set for hearing, designate, as he deems appropriate, additional persons as parties to the proceeding. The notice shall set forth the reasons for making such designation.
- E. Upon the filing of a notice of intent or statement in writing provided for in R14-3-204, the Director of Utilities shall serve each member of the Committee with a copy thereof in the manner provided in R14-3-203(B). A copy of the notice or statement shall be made available upon request to each party to the proceeding.

- F. No notice of intent to be a party, or statement, shall be accepted for filing by the Director of Utilities after expiration of the time periods set forth in R14-3-204.
- G. When it becomes apparent to the Presiding Officer that an issue exists with respect to whether an ordinance, master plan or regulation of the state, a county or an incorporated city or town is unreasonably restrictive and compliance therewith is not feasible in view of technology available, he shall promptly serve written notice of such fact upon the chief executive officer of the area of jurisdiction affected and shall inform all other parties to the proceedings. Notwithstanding any provision of law or these Rules of Practice and Procedure to the contrary, the Presiding Officer shall make such area of jurisdiction a party to the proceedings upon request filed within ten days of said notice, and upon becoming a party, evidence on such issue shall be taken during the course of the hearing. If the hearing is otherwise completed, it shall be continued until the time for such appearance expires or evidence is taken whichever first occurs.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article IV.

**R14-3-205. Notice and service requirements**

- A. Notice of hearings, notice of intent to be a party and statement of intent to make an appearance shall be served by certified mail by the Presiding Officer. Copies of each notice shall be furnished in sufficient number as determined by the Presiding Officer to permit the service thereof upon all parties known at that time.
- B. Except as provided in subsection (A) hereof, all other papers, except depositions, in proceedings pending before the Committee, must, when filed or tendered to the Committee, show service thereof upon all parties to the proceeding. Such service shall be made by delivering in person or by mailing, properly addressed with postage prepaid, one copy of the instrument served, to each party to the proceeding.
- C. When any party has appeared by an attorney or agent, service upon such attorney or agent shall be deemed service upon such party.
- D. Any notice to be directed to members of the Committee shall be in writing and shall be delivered by regular mail and by certified mail, return receipt requested. Unless otherwise specified in these Rules of Practice and Procedure, any such notice shall be deposited in the mails not less than ten days before the event therein described.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article V.

**R14-3-206. Record of proceeding**

The Director of Utilities of the Corporation Commission shall maintain a complete and separate record containing all documents and exhibits filed in connection with each application. Such record shall be made available upon request to the public during regular business hours. A copy of each application shall also be maintained in the Corporation Commission's Tucson office for public inspection during regular business hours.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article VI.

**R14-3-207. Amendment of documents**

- A. Any document provided for herein to be filed may be amended only after a showing of good cause and at the discretion of the Presiding Officer.



## Corporation Commission - Rules of Practice and Procedure

- B.** If the Presiding Officer determines an applicant's amendment of an application or accompanying information constitutes a substantial deviation from the public notice given pursuant to R14-3-208(A), within three days of his decision to allow amendment he shall notify the members of the Committee, and subject to being overruled by a majority of the Committee within ten days of notice of his decision, further hearings shall be held thereon after public notice, as provided in R14-3-208(A), in which event the 180-day period specified in R14-3-213(A) shall be deemed to run from the date of such public notice.

Effective 2-70.

**Historical Note**

Former General Order U-51, Article VII.

**R14-3-208. Hearings**

- A.** The Presiding Officer shall, within ten days after receiving an application, provide:
1. Public notice as to the time and place of a hearing on the application.
  2. Notice by certified mail to the affected areas of jurisdiction at least ten days prior to the date they are to respond by requesting to become a party.
  3. Notice to members of the Committee as provided in R14-3-205(D).
- B.** Hearings shall be held not less than 30 or more than 60 days after the date notice is first given and shall be held at the discretion of the Presiding Officer:
1. In the general area within which the proposed plant or transmission line is to be located; or
  2. At the State Capitol at Phoenix.
- C.** "Public notice", as used herein, shall mean two publications in a daily or weekly newspaper of general circulation within the general area in which the proposed plant or transmission line is proposed to be located. Such notice shall contain a general description of the substance and purpose of such hearing. If a transmission line is proposed to be located in more than one county, publication shall be made in each county wherein the line is proposed to be located.
- D.** The Presiding Officer shall receive under oath and before a court reporter the material, nonrepetitive evidence, and comments of the parties to the proceedings and any rebuttal evidence of the applicant.
- E.** At hearings upon application for a certificate, the applicant shall open and close. The order of presentation herein prescribed shall be followed except as the Presiding Officer may otherwise prescribe. At hearings of several proceedings upon a consolidation, the Presiding Officer shall designate the procedure to be followed. Intervenors shall follow the applicant in whose behalf or in opposition to whom the intervention is made.
- F.** Individual parties may appear at the hearing on their own behalf. All other persons who are parties shall appear only by a licensed attorney.
- G.** If the Committee, subsequent to the hearing, proposes to condition issuance of the certificate on the use of a site other than the site or alternate sites generally described in the notice referred to in R14-3-207(A), a further hearing shall be held thereon after public notice, as provided in R14-3-213(A), shall be deemed to run from the date of such public notice.

Effective 2-70.

**Historical Note**

Former General Order U-51, Article VIII.

**R14-3-209. Extensions of time**

For good cause shown, continuances and extensions of time will be granted in the discretion of the Presiding Officer, provided however, that when such continuance or extension is provided to an applicant, the running of the 180-day period specified in R14-3-213(A) shall be deemed to be tolled and shall cease to run during such continuance or extension. No such continuance or extension shall be granted to an applicant until such applicant has waived its right to "immediately proceed with construction of the planned facilities" as provided in A.R.S. § 40-360.08(B) for a period of time equal to the applicable time period under these regulations; plus such continuance or extension.

Effective 2-70.

**Historical Note**

Former General Order U-51, Article IX.

**R14-3-210. Witnesses and subpoenas**

- A.** Subpoenas requiring the attendance of witnesses from any place in the state of Arizona at any designated place of hearing may be issued by the Executive Secretary of the Corporation Commission.
- B.** Subpoenas for the productions of books, papers or documents shall be issued by the Executive Secretary only upon application in writing. Applications to compel witnesses who are not parties to the proceedings, or agents of such parties, to produce documentary evidence must specify, as nearly as may be practicable, the books, papers, or documents desired. Applications to compel a party to the proceedings to produce books, papers or documents should set forth the books, papers or documents sought, with a statement as to the reasons they will be of service in the determination of the proceeding.
- C.** Witnesses who are summoned are entitled to the same fees as are paid for like service in the courts of the state of Arizona, such fees to be paid by the party at whose instance the witness is called or subpoenaed.
- D.** If service of subpoena is made by an officer of the state or his deputy, such service shall be evidenced by his return thereon. In case of failure to make service, the reasons for the failure shall be stated on the original subpoena. In making service the original subpoena shall be exhibited to the person served, shall be read to him if he is unable to read, and a copy thereof shall be left with him. The original subpoena, bearing or accompanied by the required return, shall be returned forthwith to the Presiding Officer.

Effective 2-70.

**Historical Note**

Former General Order U-51, Article X.

**R14-3-211. Documentary evidence**

- A.** When relevant and material matter offered in evidence by any party is embraced in a book, papers, or document containing other matter, not material or relevant, the party must plainly designate the matter so offered. If the other matter is in such volume as would unnecessarily encumber the record, such book, paper or document will not be received in evidence but may be marked for identification and, if properly authenticated, the relevant and material matter may be read into the record, or if the Presiding Officer so directs, a true copy of such matter shall be received as an exhibit, and like copies delivered by the party offering the same to opposing parties or their attorneys or agents appearing at the hearing, who shall be afforded opportunity to examine the book, papers or document, and to offer in evidence in like manner other portions thereof, if found to be material and relevant.
- B.** In case any matter contained in a report or other document on file with the Committee or the Commission is offered in evi-

## Corporation Commission - Rules of Practice and Procedure

dence, such report or other document need not be produced, or marked for identification, but in other respects the provisions of subsection (A) hereof shall apply.

- C. In case any portion of the record before the Committee in any proceeding other than the one on hearing is offered in evidence, a true copy of such portion shall be presented for the record in the form of an exhibit unless:
1. The party offering the same agrees to supply such copy later at his own expense, if and when required by the Committee; and
  2. The portion is specified with particularity in such manner as to be readily identified; and
  3. The parties represented at the hearing stipulate upon the record that such portion may be incorporated by reference, and that any other portion offered by any other party may be incorporated by like reference subject to paragraphs (1) and (2); and
  4. The Presiding Officer directs such incorporation.
- Any portion so offered, whether in the form of an exhibit or by reference, shall be subject to objection.
- D. When exhibits of a documentary character are to be offered in evidence, copies shall be furnished to the other parties, unless the Presiding Officer otherwise directs. Whenever practicable, the parties should interchange copies of exhibits before or at the commencement of the hearing;
- E. When agreed upon by the parties at or after the hearing, the Presiding Officer, if he deems advisable, may receive specified documentary evidence as a part of the record within a time to be fixed by him, but not more than five days after the final date of hearing.
- F. Unless the Presiding Officer shall otherwise direct, 25 copies of each reproducible exhibit shall be furnished for the use of the Committee.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XI.

**R14-3-212. Transcript of testimony**

Upon payment therefor, the reporter shall furnish to any person a typewritten transcript of all or any part of the proceedings so reported and, upon request, certify that such transcript is a correct and complete statement of such proceedings.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XII.

**R14-3-213. Decision of committee and certificate**

- A. The Committee shall review and consider the transcript and record of the hearing or hearings and shall by a written decision of a majority of the members and notice to all parties issue or deny a certificate or environmental compatibility within 180 days after the date upon which the application has been received by the chairman, except where additional time is otherwise provided for herein or by stipulation or waiver.
- B. Upon request of a majority of the Committee, the parties to a certification proceeding may be requested to file briefs with the Committee. Each brief should contain an abstract of the evidence relied upon and requests for such specific findings as the party thinks the Committee should make. Briefs not filed with the Committee and served on or before the dates fixed therefor will not be received except by special permission of the chairman. All briefs must be accompanied by notice showing service upon all other parties and 20 copies of each brief shall be furnished for the use of the Committee.

- C. If oral argument is requested by a majority of the Committee, the chairman shall notify all parties and shall arrange for the Committee to hear the argument within such limits of time as he may determine.
- D. Any member or members of the Committee may prepare for the record separate written opinions setting forth their disagreement or concurrence with the written decision of the majority of the Committee. Such opinions shall be appended to the decision of the majority of the Committee, provided they are received before notice of such decision is submitted to the parties.
- E. Should the estimated cost of the facilities or site be increased as a result of the action of the Committee, such increase, as determined by an independent engineering firm selected jointly by the Committee and the applicant, shall be reflected in the certificate issued by the Committee.
- F. Upon notice filed with the Committee, and accompanied by an agreement on a form supplied by the Committee in which the transferee agrees to comply with the terms, limitations and conditions contained within a certificate of environmental compatibility, such certificate may be transferred to any utility.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XIII.

**R14-3-214. Review of committee decision**

- A. Within five days of the issuance of a certificate of environmental compatibility, the Committee shall transfer a copy of said certificate along with its written decision, to the Corporation Commission for its review and approval, subject to subsection (B) hereof.
- B. Within 15 days after the date the Committee has rendered its written decision any party to a certification proceeding may request a review thereof by the Corporation Commission.
- C. Grounds for requesting review shall be stated in a written notice filed with the Corporation Commission with a copy thereof served on the chairman of the Committee and all parties to the certification proceeding.
- D. Within five days of receipt of the notice referred to in subsection (C) hereof, the chairman shall transmit to the Corporation Commission the complete record, including a certified transcript.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XIV.

**R14-3-215. Computation of time -- holidays**

When the time prescribed by these rules for doing any act expires on a Saturday, Sunday, or a legal holiday, such time shall extend to and include the next succeeding day that is not a Saturday, Sunday, or a legal holiday.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XV.

**R14-3-216. Application of Rules of Civil Procedure**

When not in conflict with law, these Rules of Practice and Procedure shall govern in all cases before the Committee. In all cases in which procedure is not set forth either by law or by these rules, the Rules of Civil Procedure for the Superior Courts of Arizona, as established by the Supreme Court of Arizona, shall govern, except as may be otherwise directed by the Corporation Commission.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XVI.

Corporation Commission - Rules of Practice and Procedure

**R14-3-217. Office and address**

- A. Applications and other papers required to be filed with the Corporation Commission may be transmitted by mail or express, or otherwise delivered but must be received for filing at its office in Phoenix, Arizona, within the time limit, if any, for such filing.
- B. Papers required to be filed with the Committee may be transmitted by mail or express, or otherwise delivered but must be received for filing at the Arizona Corporation Commission, Utilities Division, 1688 West Adams, Phoenix, Arizona 85007, within the time limit, if any, for such filing.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XVII.

**R14-3-218. Filing fees**

- A. The fees to be paid pursuant to A.R.S. § 40-360.09, for each application, shall be made payable to the Utility Siting Fund and delivered to the chairman of the Commission on behalf of the Committee at Phoenix, Arizona.
- B. A receipt evidencing payment of the appropriate fee shall be issued immediately in order to permit the applicant to comply with A.R.S. § 40-360.03.  
Effective 2-70.

**Historical Note**

Former General Order U-51, Article XVIII.

**R14-3-219. Form of application for certificate of environmental compatibility (pursuant to A.R.S. §§ 40-360.03 and 40-360.06)**

Applications for certificates of environmental compatibility shall be typed or printed on 8 1/2 x 11 paper and shall contain the following information, including information required as exhibits, in the sequence provided:

1. Name and address of the applicant, or in the case of a joint project, the applicants.
2. Name, address and telephone number of a representative of an applicant who has access to technical knowledge and background information concerning the application in question and who will be available to answer questions or furnish additional information.
3. State each date on which applicant has filed a ten-year plan in compliance with A.R.S. § 40-360.02 and designate each such filing in which the facilities for which this application is made were described. If they have not been previously described in a ten-year plan, state the reasons therefore.
4. Description of the proposed facility, including:
  - a. With respect to an electric generating plant:
    - i. Type of generating facilities (nuclear, hydro, fossil-fueled, etc.).
    - ii. Number and size of proposed units.
    - iii. The source and type of fuel to be utilized, including a proximate analysis of fossil fuels.
    - iv. Amount of fuel to be utilized daily, monthly and yearly.
    - v. Type of cooling to be utilized and source of any water to be utilized.
    - vi. Proposed height of stacks and number of stacks, if any.
    - vii. Dates for scheduled start-up and firm operation of each unit and date construction must commence in order to meet schedules.
    - viii. To the extent available, the estimated costs of the proposed facilities and site, stated separately. (If application contains alternative sites,

- furnish an estimate for each site and a brief description of the reasons for any variations in estimates.)
- ix. Legal description of proposed site. (If application contains alternative sites, list sites in order of applicant's preference with a summary of reasons for such order of preference and any changes such alternative sites would require in the plans reflected in (i) through (viii) hereof.)
- b. With respect to a proposed transmission line:
  - i. Nominal voltage for which the line is designed; description of the proposed structures and switchyards or substations associated therewith; and purpose for constructing said transmission line.
  - ii. Description of geographical points between which the transmission line will run, the straight-line distance between such points and the length of the transmission line for each alternative route for which application is made.
  - iii. Nominal width of right-of-way required, nominal length of spans, maximum height of supporting structures and minimum height of conductor above ground.
  - iv. To the extent available, the estimated costs of proposed transmission line and route, stated separately. (If application contains alternative routes, furnish an estimate for each route and a brief description of the reasons for any variations in such estimates.)
  - v. Description of proposed route and switchyard locations. (If application contains alternative routes, list routes in order of applicant's preference with a summary of reasons for such order of preference and any changes such alternative routes would require in the plans reflected in (i) through (iv) hereof.)
  - vi. For each alternative route for which application is made, list the ownership percentages of land traversed by the entire route (federal, state, Indian, private, etc.).
- 5. List the areas of jurisdiction [as defined in A.R.S. § 40-360(1)] affected by each alternative site or route and designate those proposed sites or routes, if any, which are contrary to the zoning ordinances or master plans of any of such areas of jurisdiction.
- 6. Describe any environmental studies applicant has performed or caused to be performed in connection with this application or intends to perform or cause to be performed in such connection, including the contemplated date of completion.

Name of each Applicant  
Signature of Authorized  
Representative of each  
Applicant

Certificate of Delivery  
to Arizona Corporation  
Commission stating the  
date of such delivery.

**Historical Note**

Former General Order U-51, Article XIX.

**R14-3-220. Unauthorized communications**

- A. Purpose. It is the purpose of this rule to assist members of the Arizona Power Plant and Line Siting Committee in avoiding

## Corporation Commission - Rules of Practice and Procedure

the possibility of prejudice, real or apparent, to the public interest in proceedings before the Siting Committee.

- B.** Application. The provisions of this rule apply from the time a notice of siting hearing is published pursuant to R14-3-208(A).
- C.** Prohibitions.
1. No person shall make or cause to be made an oral or written communication, not on the public record, concerning the substantive merits of siting hearing to member of the Siting Committee involved in the decision-making process for that siting hearing.
  2. No member of the Siting Committee shall request, entertain, or consider an unauthorized communication concerning the merits of a siting hearing.
  3. The provisions of this rule shall not prohibit:
    - a. Communications regarding procedural matters;
    - b. Communications regarding any other proceedings;
    - c. Intra-agency or non-party communications regarding purely technical and legal matters.
- D.** Remedy.
1. A member of the Siting Committee who receives an oral or written offer of any communication prohibited by this

rule must decline to receive such communication and will explain that the hearing is pending for determination and that all communication regarding it must be made on the public record. If unsuccessful in preventing such communications, the recipient will advise the communicator that the communication will not be considered, a brief signed statement setting forth the substance of the communication and the circumstances under which it was made, will be prepared, and the statement will be filed in the public record of the siting hearing.

2. Any person affected by an unauthorized communication will have an opportunity to rebut on the record any facts or contentions contained in the communication.
3. If a party to a contested siting hearing makes an unauthorized communication, the party may be required to show cause why its claim or interest in the siting hearing should not be dismissed, denied, disregarded, or otherwise adversely affected on account of such violation.

**Historical Note**

New Section made by final rulemaking at 12 A.A.R. 4181, effective December 25, 2006 (Supp. 06-4).

## Corporation Commission - Rules of Practice and Procedure

**Exhibit 1. Exhibits to Application****EXHIBITS TO APPLICATION\*****Exhibit A:**

1. Where commercially available,\*\* a topographic map, 1:250,000 scale, showing the proposed plant site and the adjacent area within 20 miles thereof. If application is made for alternative plant sites, all sites may be shown on the same map, if practicable, designated by applicant's order of preference.
2. Where commercially available,\*\* a topographic map, 1:62,500 scale, of each proposed plant site, showing the area within two miles thereof. The general land use plan within this area shall be shown on the map, which shall also show the areas of jurisdiction affected and any boundaries between such areas of jurisdiction. If the general land use plan is uniform throughout the area depicted, it may be described in the legend in lieu of an overlay.
3. Where commercially available,\*\* a topographic map, 1:250,000 scale, showing any proposed transmission line route of more than 50 miles in length and the adjacent area. For routes of less than 50 miles in length, use a scale of 1:62,500. If application is made for alternative transmission line routes, all routes may be shown on the same map, if practicable, designated by applicant's order of preference.
4. Where commercially available,\*\* a topographic map, 1:62,500 scale, of each proposed transmission line route of more than 50 miles in length showing that portion of the route within two miles of any subdivided area. The general land use plan within the area shall be shown on a 1:62,500 map required for Exhibit A-3, and for the map required by this Exhibit A-4, which shall also show the areas of jurisdiction affected and any boundaries between such areas of jurisdiction. If the general land use plan is uniform throughout the area depicted, it may be described in the legend in lieu of an overlay.

\* Duplication of information shall be avoided in the application and exhibits through the use of cross-references.

\*\* If a topographic map is not commercially available, a map of similar scale, which reflects prominent or important physical features of the area in the vicinity of the proposed site or route shall be substituted.

**Exhibit B:**

Attach any environmental studies which applicant has made or obtained in connection with the proposed site(s) or route(s). If an

environmental report has been prepared for any federal agency or if a federal agency has prepared an environmental statement pursuant to Section 102 of the National Environmental Policy Act, a copy shall be included as a part of this exhibit.

**Exhibit C:**

Describe any areas in the vicinity of the proposed site or route which are unique because of biological wealth or because they are habitats for rare and endangered species. Describe the biological wealth or species involved and state the effects, if any, the proposed facilities will have thereon.

**Exhibit D:**

List the fish, wildlife, plant life and associated forms of life in the vicinity of the proposed site or route and describe the effects, if any, the proposed facilities will have thereon.

**Exhibit E:**

Describe any existing scenic areas, historic sites and structures or archaeological sites in the vicinity of the proposed facilities and state the effects, if any, the proposed facilities will have thereon.

**Exhibit F:**

State the extent, if any, the proposed site or route will be available to the public for recreational purposes, consistent with safety considerations and regulations and attach any plans the applicant may have concerning the development of the recreational aspects of the proposed site or route.

**Exhibit G:**

Attach any artist's or architect's conception of the proposed plant or transmission line structures and switchyards, which applicant believes may be informative to the Committee.

**Exhibit H:**

To the extent applicant is able to determine, state the existing plans of the state, local government and private entities for other developments at or in the vicinity of the proposed site or route.

**Exhibit I:**

Describe the anticipated noise emission levels and any interference with communication signals which will emanate from the proposed facilities.

**Exhibit J:**

Describe any special factors not previously covered herein, which applicant believes to be relevant to an informed decision on its application.

Effective 2-70.

**Historical Note**

Former General Order U-51, Article XIX.