

Application For A New Or Amended Certificate Of Public Convenience And Necessity for DIRECTORY ASSISTANCE

Dear Applicant:

The following information is required in the application for a new or amended certificate of public convenience and necessity to provide Directory Assistance:

- 1) Checklist of information to be filed with the Commission;
- 2) Application for a certificate of public convenience and necessity;
- 3) Samples of the approved tariff form;
- 4) Regulatory Commission of Alaska Act (AS 42.05);
- 5) Rules of Practice and Procedure (3 AAC Chapters 47 through 53); and
- 6) Master Utility Directory Information;

Please note that all required information listed (3 AAC 53.630) is required to obtain a Certificate of Public Convenience and Necessity to provide directory assistance. Should the application be filed without all the required information, the application may be returned to the applicant for completion and re-filing.

The Commission's regulations (3 AAC 48.090) require that the final typed application be submitted in an original and ten (10) duplicate copies. Filings should be mailed or delivered to:

Regulatory Commission of Alaska,
701 West Eighth Avenue, Suite 300
Anchorage, Alaska 99501-3469.

If we can be of any further assistance with the completion of the application and financial schedules, please feel free to contact us at (907) 276-6222 in Anchorage, or within Alaska (800) 390-2782.

Sincerely,

Regulatory Commission of Alaska

**CHECK LIST OF INFORMATION TO BE FILED WITH
THE COMMISSION FOR DIRECTORY ASSISTANCE**

- (a) Operation of the statewide directory assistance bureau requires a certificate of public convenience and necessity.
- (b) An applicant for a certificate of public convenience and necessity to operate the statewide directory assistance bureau must be a utility that is certificated by the commission to provide local exchange service.
- (c) A local exchange carrier proposing to operate the statewide directory assistance bureau shall file an application for a certificate of public convenience and necessity in accordance with 3 AAC 48.620.
- (d) The local exchange carrier certificated by the commission to operate the statewide directory assistance bureau shall provide its local exchange 411-directory assistance through the statewide directory assistance bureau.
- (e) In addition to the requirements of (b) of this section, an applicant proposing to operate the statewide directory assistance bureau shall provide information, in writing, to the commission to demonstrate its ability to:
 - (1) maintain the service standards of 3 AAC 52.300 (b);
 - (2) fulfill the reporting requirements of 3 AAC 52.300 (d);
 - (3) provide new and updated directory assistance information within three days of its receipt from local exchange carriers;
 - (4) provide service on a cost-effective basis; and
 - (5) maintain a separate subsidiary and accounts for the statewide directory assistance bureau.
- (f) A local exchange carrier proposing to self-provide local exchange 411 directory assistance under 3 AAC 53.620 (c) shall file an application for an amendment to its certificate of public convenience and necessity.
- (g) In addition to the requirements of (f) of this section, a local exchange carrier applying to self-provide local exchange 411 directory assistance service shall demonstrate its ability to:
 - (1) maintain the service standards of 3 AAC 52.300 (b);
 - (2) fulfill the reporting requirements of 3 AAC 52.300 (d);
 - (3) provide new and updated directory assistance information to its subscribers within three days of issuing a new telephone number to a subscriber; and
 - (4) provide service on a cost-effective basis.

Verification of Application and Authorization of Notice

The undersigned hereby verifies the application and requests the Alaska Public Utilities Commission to grant to applicant a certificate of public convenience and necessity for the services and service areas set out above.

The undersigned applicant hereby authorizes the Alaska Public Utilities Commission to arrange notice of this application to other utilities and interested persons by publication in newspapers of general circulation in the applicant's existing and/or proposed service area. The applicant agrees to pay the cost of such publication of notice.

DATED at _____ Alaska, this ____ day of _____, 2000.

Name of Applicant

By: _____
Principal Officer, Partner, or Owner

Name and Title

Address of Applicant

Name and address of attorney for applicant:

APUC FORM PU 101

(Revised 4/27/87; replaces Forms PU 101, PU 104, PU 107A, and PU 107B.)

DATE FILED: _____

DOCKET NO. _____

FEE PAID: _____

APPLICATION FOR NEW OR AMENDED CERTIFICATE
OF PUBLIC CONVENIENCE AND NECESSITY

PART I. GENERAL INFORMATION:

A. Applicant: _____
(Utility Name)

Business
Address: _____
(Street Address or P.O. Box)

(City) (State and Zip Code)

Business Telephone: _____
(Area Code/Number)

B. Person to be contacted with respect to this application:

(Name) (Street Address or P.O. Box)

(Position) (City, State, & Zip Code)

(Daytime Telephone Number)

C. Type of Utility:

- ☐ Electric
- ☐ Gas
- ☐ Refuse
- ☐ Sewer
- ☐ Telecommunications (Cable Television)
- ☐ Telecommunications (Local Exchange)
- ☐ Telecommunications (Long Lines Carrier)
- ☐ Telecommunications (Radio Common Carrier)
- ☐ Water
- ☐ Other _____

D. Applicant proposes to:

- ☐ Secure a certificate of public convenience and necessity.
- ☐ Amend Certificate No. _____

E. List any utilities or other entities which you are aware are currently providing the same type of service in the area sought by this application:¹

(1) _____

(2) _____

(Address)

(Address)

(Competing Service)

(Competing Service)

(Competing Service Area)

Competing Service Area)

F. Applicant is:

- ☐ Cooperative ☐ Private-Owned Corporation
- ☐ Individual ☐ Municipally-Owned Utility
- ☐ Partnership ☐ Political Subdivision of State
- ☐ Limited
- ☐ General
- ☐ Other _____

Date of Organization (if applicable): _____

¹Competing entities are those entities providing, or intending to provide, the same, or substantially the same, service or facility to any part of the requested service area.

G. List the owners of five percent or more of the applicant's equity.

_____	_____
(Name)	(Percent Ownership)

(Address)

_____	_____
(Name)	(Percent Ownership)

(Address)

_____	_____
(Name)	(Percent Ownership)

(Address)

H. List all persons or entities which are affiliated interests of the applicant as defined in AS 42.05.720(1)(A)-(G):

_____	_____
(Name)	(Street Address or P.O. Box)

(City, State, and Zip Code)

_____	_____
(Name)	(Street Address or P.O. Box)

(City, State, and Zip Code)

I. Location where company books will be kept:

(Address)

(Note: AS 42.05.491 requires that a public utility keep its books, accounts, papers, and records in an office within the State of Alaska, unless the utility has received Commission approval for another location.)

PART II. GENERAL DOCUMENTS:

Applicants must provide the following information in attachments numbered to correspond to the items below.

A. KEY MANAGEMENT

List the names, titles, and responsibilities of all key management now employed or to be employed in the utility operation. Submit a resume for each person, including all prior background, schooling, and any other qualifications, which may be useful to the operation of the utility.

If accurate, up-to-date resumes are on file with the Commission, an applicant requesting an amendment to a certificate may satisfy this information requirement by submitting a statement to this effect.

B. Corporate or Partnership Documents

If the applicant is a corporation, enclose the following:

- 1) Certificate of Incorporation
- 2) Articles of Incorporation
- 3) Bylaws

If the applicant is a partnership, enclose a copy of the partnership agreement.

If accurate, up-to-date corporate or partnership documents are on file with the Commission, an applicant requesting an amendment to a certificate may satisfy this information requirement by submitting a statement to this effect.

C. Benefit to the Public

Explain in detail why the new or additional utility service is, or may be, required for the public convenience and necessity and state why any existing, similar service is insufficient or why overlapping certification is otherwise appropriate. Also include the number and type of customers by geographic location which the applicant expects to serve. Explain how the customer estimates were derived.

In addition to the above, if the applicant is a certificated utility, describe the impact of the amendment on the existing

subscribers (i.e., effect on rates, quality of service, service provided, etc.).

D. Service Area Map

Attach a map clearly showing the boundary of the applicant's proposed service area using a U.S.G.S. topographic map, scale 1:63,360 (or 1:24,000 if available). In cases where the proposed service area is less than one square mile, contact the Commission Staff for the appropriate map. Include a description of the area using townships and ranges.

If the applicant is a certificated utility, provide a map, which shows how the current service area boundary will be modified if the amendment is approved.

E. Utility Practices and Procedures

Attached the proposed tariff or practices and procedures of the applicant, showing all rates, deposits, and charges associated with providing the proposed service to the general public and including the standard practices the applicant will follow when dealing with its customers (such as billing practices, conditions of disconnection, etc.). Applicants should refer to 3 AAC 48.200 -- AAC 48.420 for tariff requirements adopted by the Commission or may contact the Commission Staff for samples of approved tariffs.

If an applicant is a certificated utility, submit a statement which incorporates by reference those pages of its currently effective tariff which are applicable to the amendment and include in the application only additional or modified tariff pages resulting from the amendment (e.g., the service area map).

PART III. TECHNICAL DOCUMENT/INFORMATION

At a minimum, an applicant for a certificate must provide the following information for the type of utility certificate requested. All relevant permits and licenses for operation including, but not limited to, those listed below must be submitted with applications for certification.

A. Electric Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment to serve the additional area.
2) the make and capacity of each generating unit which will serve the proposed service area;	2) the make and capacity of each generating unit added to serve the additional area and a statement of the effect the additional demand will have on existing generating capacity.
3) a one-line diagram of the generation system;	3) a one-line diagram of any new generation system constructed to serve the additional service area;
4) a layout of the generating plant which will serve the proposed service area;	4) a layout of the generating plant, if new plant will be constructed or existing plant will be expanded or reconfigured as a result of the service area addition;
5) information regarding the fuel supply for the proposed service area, including the means of delivery, storage capacity, and estimated annual consumption;	5) information regarding the means of delivery, storage capacity, and estimated annual consumption of fuel if a new power plant is constructed to serve the additional area; otherwise, describe how the additional demand affects the available fuel supply storage capacity;

6) a distribution and transmission system design diagram for the proposed service area, including a summation of transmission and distribution mileage;	6) a distribution and transmission system design diagram for the additional service area, including a summation of transmission and distribution mileage;
7) a statement confirming that the proposed system meets the State minimum electrical safety standards adopted in AS 18.60.580 (i.e., the National Electric Safety Code) and, if the applicant will be an economically regulated utility, meets the requirements of 3 AAC 52.400 - 3 AAC 52.500; and	7) a statement confirming that the proposed system meets the State minimum electrical safety standards, adopted in AS 18.60.580 (i.e., the National Electric Safety Code) and, if the applicant is an economically regulated utility, meets the requirements of 3 AAC 52.400 - 3 AAC 52.500; and
8) a description of any negotiations with telephone and/or cable television utilities on the joint use of pole lines.	8) a description of any negotiations with telephone and/or cable television utilities on the joint use of pole lines in the additional service area.

B. Gas Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and address of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) copies of executed contracts for gas supplies for the proposed service area;	2) copies of any additional executed contracts for gas supplies needed to serve the expanded service area and a statement of the impact of the additional service area on existing gas supplies;
3) a distribution and transmission system diagram for the proposed service area; and	3) a distribution and transmission system diagram for the additional service area; and
4) a statement confirming that the system has been designed to meet the requirements of 3 AAC 52.010 -- 3 AAC 52.080.	4) a statement confirming that the addition to the system has been designed to meet the requirements of 3 AAC 52.010 -- 3 AAC 52. 08.

C. Refuse Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the maintenance and repair of equipment for the proposed service;	1) the names and addresses of all non-utility personnel or entities responsible for the maintenance and repair of equipment acquired to serve the proposed service area addition;
2) a description of the equipment and/or facilities, i.e., number and type of vehicles, etc., which will serve the proposed service area;	2) a description of the equipment and/or facilities, i.e., number and type of vehicles, etc., which will be purchased to serve the additional service area and a description of the impact of the amendment on the existing equipment;
3) a statement of the location of the landfill, other drop site, or facility for disposal of refuse from the proposed service area; and	3) a statement of the location of the landfill, other drop site or facility for disposal of refuse from the additional service area, if different from the current location used by the utility; and
4) a copy of the permit for the proposed service from the Alaska Department of Environmental Conservation ("Permit to Operate"). If the permit has not yet been issued, describe and document what has been done to obtain it.	4) a copy of the permit for the proposed service from the Alaska Department of Environmental Conservation ("Permit to Operate"). If the permit has not yet been issued, describe and document what has been done to obtain it.

D. Sewer Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of the addition to the system;
2) a description of the treatment facilities and the method of disposal of treated effluents for the proposed service area;	2) a description of the treatment facilities and the method of disposal of treated effluents for the additional service area, if different from those currently in use, and a description of the impact of the amendment on the existing facilities;
3) the system layout for the proposed service area including, at a minimum, sizes of existing and/or proposed mains and lateral lines, lift stations, and treatment plant(s); and	3) the system layout for the additional service area including, at a minimum, sizes of existing and/or proposed mains and lateral lines, lift stations, and treatment plants(s); and
4) a copy of the approval for the proposed service from the Alaska Department of Environmental Conservation ("Final Operation Approval"). If the approval has not yet been issued, describe and document what has been done to obtain it.	4) a copy of the approval for the additional service from the Alaska Department of Environmental Conservation ("Final Operation Approval"). If the approval has not yet been issued, describe and document what has been done to obtain it.

Note: Sewer utilities may provide copies of information filed with the Alaska Department of Environmental Conservation for (2) and (3) of the above requires.

E. Telecommunications (Cable Television) Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and address of those responsible for the design, installation, maintenance, and repair of equipment for the proposed service;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) head-end and distribution system equipment specification sheets for all major components in the proposed service area;	2) head-end (if applicable) and distribution system equipment specification sheets for all major components constructed to serve the additional service area;
3) a diagram of the proposed head-end;	3) a diagram of any new head-end constructed to serve the additional service area;
4) calculations showing the expected signal-to-noise ratio at the receiver output under worst-case conditions in the proposed service area;	4) calculations showing the expected signal-to-noise ratio at the receiver output under worst-case conditions in the additional service area;
5) calculations showing the expected audio and video signal-to-noise ratio for each operational channel at the furthest end point of each continuous route in the distribution system.	5) calculations showing the expected audio and video signal-to-noise ratio at the receiver output under worst-case conditions in the additional service area;
6) the distribution system layout in the proposed service area;	6) the distribution system layout in the additional service area;

7) if the applicant is a telephone common carrier or an affiliate, directly or indirectly, of a telephone common carrier, a copy of the request to the Federal Communications Commission for waiver of 47 C.F.R. 63.54 and 63.55 or a statement with appropriate support explaining why such a waiver is not required; and	7) if the applicant is a telephone common carrier or an affiliate, directly or indirectly, of a telephone common carrier, a copy of the request to the Federal Communications Commission for waiver of 47 C.F.R. 63.54 and 63.55 or a statement with appropriate support explaining why such a waiver is not required; and
8) a description of any negotiations with electric and/or telephone utilities on the joint use of pole lines.	8) a description of any negotiations with electric and/or telephone utilities on the joint use of pole lines in the additional service area.

Note: If the application is approved, following the completion of the system the applicant will be required to file with the commission the results of the test data specified under 47 C.F.R. 76.601.

F. Telecommunications (Local Exchange or Long Lines) Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) a description of the switching equipment serving the proposed service area by make, type of switch, and capacity;	2) a description by make, type, and capacity of any added switching equipment and a statement of the impact the additional service area will have on existing switching capacity (line, trunk, and common control);
3) a statement of the expected carried traffic during the busy hour, busy season;	3) a statement of the expected traffic generated in the additional service area during the busy hour, busy season;
4) the system layout (cable or radio) for the proposed service area including, at a minimum, the outside plant routing and the switching location;	4) the system layout (cable or radio) for the additional service area including, at a minimum, the outside plant routing and the switching location;
5) a statement confirming that the system has been designed to meet the requirements of 3 AAC 52.200 -- 3 AAC 52.340;	5) a statement confirming that the addition to the system has been designed to meet the requirements of 3 AAC 52.200 -- 3 AAC 52.340;
6) a description of any negotiations with electric and/or cable television utilities on the joint use of pole lines; and	6) a description of any negotiations with electric and/or cable television utilities on the joint use of pole lines in the additional service area; and
7) copies of the Federal Communications Commission application for the proposed service under 47 U.S.C.A. 214. If the application has not been made, explain why.	7) copies of the Federal Communications Commission application for the proposed service under 47 U.S.C.A. 214. If the application has not been made, explain why.

G. Telecommunications (Radio Common Carrier) Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) a description of the type of service to be offered (e.g., radio paging or mobile radio telephone) and a description of the system (e.g. radio terminal and transmitter(s)); and	2) a description of the type of service to be offered (e.g., radio paging or mobile radio telephone); a description of any radio terminals, transmitters, and/or repeaters added as a result of the proposed service area expansion; and a description of the impact of the addition on the existing equipment; and
3) copies of the Federal Communications Commission application for the proposed service under 47 C.F.R. 22. If the application has not been made, explain why.	3) copies of the Federal Communications Commission application for the proposed service under 47 C.F.R. 22. If the application has not been made, explain why.

H. Water Utility

<u>New Certificate</u>	<u>Amended Certificate</u>
1) the names and addresses of those responsible for the design, installation, maintenance, and repair of equipment for the proposed system;	1) the names and addresses of all non-utility personnel or entities responsible for the design, installation, maintenance, and repair of equipment for the addition to the system;
2) a description of the sources(s) of water for the proposed service area, including the quantity available, pumping capacity for each source, reservoir capacity, and the available reserve capacity (in hours) in case of power outages and/or well failure;	2) a description of the source(s) of water for the additional service area, if different from that currently in use, including the quantity available, pumping capacity for each source, reservoir capacity, and the available reserve capacity (in hours) in case of power outages and/or well failure, and a description of the impact of the amendment on the existing water source;
3) the system layout for the proposed service area including, at a minimum, sizes of mains and lateral lines, and water treatment plant(s); and	3) the system layout for the additional service area including, at a minimum, sizes of mains and lateral lines and water treatment plant(s); and
4) copies of approvals for the proposed service from the Alaska Department of Environmental Conservation ("Final Operation Approval") and the Department of Natural Resources ("Certificate of Appropriation"). If the approvals have not yet been issued, describe and document what has been done to obtain them.	4) copies of approvals for the additional service from the Alaska Department of Environmental Conservation ("Final Operation Approval") and the Department of Natural Resources ("Certificate of Appropriation") and the effect the new service will have on existing water rights. If the approvals have not yet been issued, describe and document what has been done to obtain them.

Note: Water utilities may provide copies of information filed with the Alaska Department of Environmental Conservation for (2) and (3) of the above requirements.

PART IV. FINANCIAL INFORMATION:

At a minimum, applicants must provide the following:

A. Financial Status:

The applicant must provide the following historical financial information:

1) if the applicant is an existing business which previously has not operated as a utility or has not been certificated to operate as a utility, copies of the most recent year's balance sheet and income statement for the existing business (preferably audited); or

2) if the applicant is a new business which proposes to operate as a utility, copies of the most recent year's balance sheet and income statement for the principal owners of the business; or

3) if the applicant is a certificated utility, copies of the appropriate pages from its annual report to the Commission, if those pages still reflect the current financial status of the utility, or copies of current statements to other agencies (e.g., Rural Electrification Administration Electric Form 7 or Telephone form 479) or copies of its most recent internal documents which contain substantially the same information.

In addition, applicants must provide the following pro forma financial schedules:

1) a schedule of operating revenues (see attached Schedule 1);

2) a schedule of operating expenses (see attached Schedule 2);

3) a plant-in-service and depreciation schedule (see attached Schedule 3);

4) a computation of the utility's weighted cost of capital (see attached Schedule 4);

5) a computation of the utility's rate base and return (see attached Schedule 5);

6) a tax computation (see attached Schedule 6); and

7) a revenue requirement and calculation of proposed rates (see attached Schedule 7).

B. Sources of Financing

List the sources of the financing for the proposed utility or expansion of an existing utility. Include documentation showing that the sources listed will provide the applicant with the required funds. Include the terms and conditions of all loans and equipment contracts which may be relevant. If a portion or all of the plant is contributed, list the sources and conditions of all on-site and off-site assessments, grants, or other sources of funding.

PART V. AUTHORIZATION

Verification of Application and Authorization of Notice

The undersigned hereby verifies the application and requests the Alaska Public Utilities Commission to grant to applicant a certificate of public convenience and necessity for the services and service areas set out above.

The undersigned applicant hereby authorizes the Alaska Public Utilities Commission to arrange notice of this application to other utilities and interested persons by publication in newspapers of general circulation in the applicant's existing and/or proposed service area. The applicant agrees to pay the cost of such publication of notice.

DATED at _____ Alaska, this ____ day of _____, 2000.

Name of Applicant

By: _____
Principal Officer, Partner, or Owner

Name and Title

Address of Applicant

Name and address of attorney for

RCA No. _____

Sheet No. _____

Canceling

Sheet No.

Tariff Advice No. _____		Effective _____	

Issued By: _____

By: _____

Title: _____

**REGULATORY COMMISSION OF ALASKA
MASTER UTILITY DIRECTORY INFORMATION**

Please complete form and return to:

Records and Filings
Regulatory Commission of Alaska
701 West Eighth Ave., Suite 300
Anchorage, AK 99501-3469
In Anchorage (907) 276-6222
Within Alaska (800) 390-2782

GENERAL INFORMATION UPDATE FORM

Name of Pipeline/Utility Carrier:_____

Address:_____

_____ Zip Code:_____

Telephone No:_____ Fax No:_____

EIN Number:_____ Certificate No.:_____

MANAGEMENT

List all principal management personnel

Name	Address	Local Manager	Phone No.
President:_____			
General Manager:_____			
Principal Attorney(s):_____			
Accountant:_____			
Engineer:_____			

Service Area Information

For all principal management personnel

Location	Local Address	Local Manager	Phone No.

