

Date Filed: _____

File No: _____

To be filled out by Commission Staff

Application for a Provisional Certificate of Public Convenience and Necessity

In accordance with 3 AAC 52.720, a water or sewer utility meeting the following criteria may apply for a Provisional Certificate of Public Convenience and Necessity (Provisional Certificate):

(1) Community association, cooperative, political subdivision, or government owning water treatment and distribution or wastewater treatment and collection facilities that has fair and equitable customer representation; or

(2) Any other form of business structure that has an annual gross revenue less than \$50,000. "Annual gross revenues" means the revenues that would be accrued by the utility, assuming a 100 percent collection rate from customers

Water and wastewater utilities that are financially and managerially consolidated and operating under one tariff or ordinance may file a single application, including one application fee. A Provisional Certificate is not equivalent to a Certificate of Public Convenience and Necessity and does not bring a utility under economic regulation. A utility may seek a higher level of regulation by petitioning the Commission and successfully completing the appropriate application.

Part I - Information:

A. Applicant:

Legal Name: _____

Business Name: _____

Business
Address: _____

Business
Telephone: (____) _____ - _____

B. Utility Contact:

Name: _____

Title: _____

Business
Address: _____

Daytime
Telephone: (____) _____ - _____

Fax: (____) _____ - _____

C. Utility Type:

☐ Water Utility

☐ Wastewater Utility

☐ Consolidated Water & Wastewater Utility operating under one tariff or ordinance

D. The Applicant is a:

- | | |
|--|--|
| <input type="checkbox"/> Cooperative | <input type="checkbox"/> Privately-Owned Corporation |
| <input type="checkbox"/> Individual | <input type="checkbox"/> Municipally-Owned Utility |
| <input type="checkbox"/> Homeowner's or Condo Association | <input type="checkbox"/> Tribally Owned Utility |
| <input type="checkbox"/> Limited Partnership | <input type="checkbox"/> General Partnership |
| <input type="checkbox"/> Other: <u>[Click here and Explain what type of entity you are]</u> | |

If Association, Corporation, or Partnership, what is the date of creation or organization?
Date of Organization (if applicable): "[Click here and type Date]"

Provide proof of the utility's structure as an attachment to the application. This could include a business license or certificate of incorporation (for municipality, private/non-profit corporation, or IRA council). For a traditional native council a copy of the current BIA list should be filed.

E. Proof of Customer Representation

If the applicant is a cooperative or homeowner's / condo association, the attached tariff / ordinance must clearly indicate the means by which the customers have representation and control over the utility. If the tariff or ordinance does not contain these provisions, please attach the bylaws which demonstrate customer representation.

F. Gross Annual Revenues & Outside Funds

An existing utility should include a certified statement of gross revenues for the most recent fiscal year. Gross revenues are defined as the amount the utility would collect from customers, assuming a 100% collection rate. A new utility that is not yet providing service should include projected gross revenues for the first fiscal year of operation.

Does the utility use money from sources besides customer revenues to cover its annual expenses? If so, those sources should be identified as well as the amount of funding received from each source annually.

G. Service Area Description and Map

Attach a written service area description that accurately represents the area requested. The description should be written using Range and Township descriptions, including the applicable Sections, as shown in the following example:

EXAMPLE SERVICE AREA DESCRIPTION:

T1S	R3W Sections:	All
T1S	R2W Sections:	Those sections and portions of sections North of the Tanana River
T1S	R1E Sections:	NW1/4, and N1/2 of SW1/4 of 3; S1/2 of 10
T1S	R2E Sections:	7 through 9; and 13 through 36

(All the above with reference to the Fairbanks Meridian)

In addition, attach a map that clearly shows the boundary of the applicant's proposed service area using a United States Geological Survey (USGS) topographic map, scale 1:63,360. In cases where the proposed service area is less than one square mile, contact the Commission Engineering Staff for instructions on what type of service area map may be accepted.

H. Service Connections

Indicate the number of service connections under each class of service the utility is serving. Service connections are defined as physically separated customer locations that are connected to the water or wastewater plant by a distribution or collection system. If the utility uses categories other than those listed, please enter them

Category	# of Customers
Residential	
Commercial	
Institutional	
Bulk Service	

Other Categories	# of Customers

I. Tariff

Attach a tariff or ordinance to this application that meets the requirements listed in Appendix A to this application.

Part II – Application Fee & Filing Instructions

An application fee of \$300 MUST be included with the application for it to be complete.

Applications that do not contain the application fee will be returned to the applicant without review of the application until such time as the fee is provided. An application fee that does not clear the bank may be a cause for revocation of the application.

The Application should be filed as **one original and one copies** with the RCA. An application is not considered to be complete without the inclusion of the copy. The RCA is located in Phillips Tower South at 701 West Eighth Street, Anchorage, Alaska.

Questions about the application and filing requirements can be directed to the Commission Engineering Staff at one of the following numbers:

(907) 276-6222
(800) 390-2782 (outside Anchorage)
(907) 276-0160 (Fax)
(907) 276-4533 (TTY)

Part III – Authorization

Verification of Application and Authorization of Notice

The undersigned hereby verifies the application and requests the Regulatory Commission of Alaska to grant to applicant a Provisional Certificate of Public Convenience and Necessity for the services and service areas set out above.

Dated at LOCATION Alaska, this DATE day of MONTH, YEAR.

Name of Applicant

By:

Principal Officer, Partner, or Owner

Name and Title

Address

Name of Attorney for Applicant (if applicable)

Address

Appendix A:

Tariff / Ordinance Requirements

General arrangement and content of tariff.

The tariff filed with the commission must contain the following elements:

- (1) a title page including the exact legal name of the utility, the service offered and the complete address of the utility;
- (2) an index page with a complete and accurate list of contents;
- (3) a map or set of maps depicting the utility's service area;
- (4) a written description of the service area matching the area approved by the commission;
- (5) a map depicting the areas, zones, or districts in which any different rate schedules apply;
- (6) a complete set of the regulations governing the services offered;
- (7) a schedule of all rates and charges for each class of service offered.

Content of rules and regulations.

To the extent applicable, the tariff must include:

- (1) applications for service, deposits, and credit rules;
- (2) definitions of terms used in the tariff;
- (3) terms, conditions, and charges for service connections;
- (4) the reconnection charge and conditions under which the charge applies;
- (5) use of service when it is a determining factor in the application of rates;
- (6) installation and allowable deviation of metering devices from fixed standards;
- (7) terms and conditions under which service will be extended to applicants via distribution main extensions, line extensions, or other means (except when stated in a rate schedule);
- (8) responsibility for, and maintenance of, service;
- (9) access to customer premises;
- (10) interruptions of service and credit for interruptions;
- (11) billing regulations, including special bills;
- (12) delinquent accounts;
- (13) illegal use of service;
- (14) discontinuance of service by customer or utility, including temporary disconnection;
- (15) sales for resale;
- (16) procedure for filing and disposition of customer complaints;
- (17) priority of service;
- (18) liability clauses;
- (19) responsibility of customer;
- (20) responsibility of utility;
- (21) sheet indicating locations of tariff or ordinance; and
- (22) terms and conditions concerning point of use devices owned, operated, and / or maintained by the utility.

Appendix A:

Tariff / Ordinance Requirements

Content of rate schedules.

Each schedule setting out the rates and charges for services offered by the utility must be given an appropriate heading.

- (1) the schedule number, class of service, and the locality or area where it is applicable;
- (2) to whom the service is available;
- (3) the kind or classification of service, the conditions under which it is offered, and, if necessary, the geographic area in which the rate is applicable;
- (4) the rate;
- (5) whether a schedule is optional, and the associated conditions;
- (6) the minimum charge;
- (7) the time when service is available if not 24-hour service;
- (8) the discount for prompt payment when applicable;
- (9) promotional practices involving an offer to pay compensation or consideration or furnish equipment as an inducement for the installation or use of a service or commodity;
- (10) any provision for the automatic revision of a rate or charge which is contingent on changes in a cost element entering into the cost of providing service such as changes in the wholesale rate paid by the utility for the service or commodity it purchases; and
- (11) all factors entering into the computation of bills under the schedule.