

1 APPENDIX A

2
3 I. GENERAL RULES

4
5 WAC

6
7 Amend

8 **480-80-010 Application of rules.** *[includes subsection (4) from Docket U-991301,*
9 *effective 5/5/01]*

10 (1) The rules in this chapter apply to any utility that is subject to the jurisdiction of the
11 commission as to rates and services under the provisions of RCW 80.04.010, chapter
12 80.28 RCW, and chapter 80.36 RCW.

13 (2) The tariff, price list, and contract provisions filed by utilities must conform with
14 these rules. If the commission accepts a tariff, price list, or contract that conflicts with
15 these rules, the acceptance does not constitute a waiver of these rules unless the
16 commission specifically approves the variation consistent with WAC 480-80-0X1,
17 Exemption from rules in chapter 480-80 WAC. Tariffs, price lists, or contracts that
18 conflict with these rules without approval are superseded by these rules.

19 (3) Any affected person may ask the commission to review the interpretation of
20 these rules by a utility or customer by posing an informal complaint under WAC 480-09-
21 150, Informal complaints, or by filing a formal complaint under WAC 480-09-420,
22 Pleadings and briefs--Application for authority--Protests.

23 (4) Competitively classified telecommunications utilities previously granted
24 exemptions from chapter 480-80 WAC Utilities General – Tariffs are not exempt from
25 Part I. General Rules, WAC 480-80-2X1 through 480-80-2X5, WAC 480-80-3X4, and
26 WAC 480-80-3X5. Exemptions from the provisions of chapter 480-80 WAC include only
27 the provisions in effect at the time the exemption was granted.

28 (5) No deviation from these rules is permitted without written authorization by the
29 commission. Violations will be subject to penalties as provided by law.

30 (6) On or after the effective date of these rules:

31 (a) Any tariff, price list, or contract currently on file and in effect is not required to
32 be refiled to comply with these rules; or

33 (b) Any tariff contract or filing for a change to a tariff or a price list that is pending
34 is not required to be refiled to comply with these rules.

35 (7) After the effective date of these rules, any tariff, price list, or contract filing
36 must comply with these rules.

37
38 New Section

39 **480-80-0X1 Exemptions from rules in chapter 480-80.**

40 (1) The commission may grant an exemption from ~~the provision of~~ any rule in this
41 chapter, when doing so is consistent with the public interest, the purposes underlying
42 regulation, and applicable statutes.

43 (2) To request a rule exemption, a person must file with the commission a written
44 request identifying the rule for which an exemption is sought, giving a full explanation of
45 the reason for requesting the exemption.

46 (3) The commission will assign the request a docket number, if it does not arise

47 in an existing docket, and will schedule the request for consideration at one of its
48 regularly scheduled open meetings or, if appropriate under chapter 34.05 RCW, in an
49 adjudication. The commission will notify the person requesting the exemption, and
50 other affected persons, of the date of the hearing or open meeting when the
51 commission will consider the request.

52 (4) In determining whether to grant the request, the commission may consider,
53 among other things, whether application of the rule would impose undue hardship on
54 the petitioner, of a degree or a kind different from hardship imposed on other similarly
55 situated persons, and whether the effect of applying the rule would be contrary to the
56 purposes of the rule.

57 (5) The commission will enter an order granting or denying the request or
58 setting it for hearing, pursuant to chapter 480-09 WAC.

59
60 **New Section**

61 **480-80-0X3 Transmittal letter.**

62 The utility must submit a transmittal letter with all tariff, price list, and contract filings.
63 The transmittal letter must:

64 (1) (a) Identify all new tariffs, price lists, contracts, or (b) -and identify the tariff,
65 price list, and contract changes;

66 (2) Explain in understandable terms why the tariff, price list, or contract filing is
67 being filed submitted;

68 (3) Convey the requested action in clear and concise terms and define any
69 acronyms used;

70 (4) ~~If known, r~~Refer to the commonly-used name, if known, the advice number,
71 and the docket number, if applicable;

72 (5) Include the advice number, if the utility uses consecutively numbered advice
73 letters;

74 (56) Describe which services are impacted affected, and the dollar amount and
75 percentage of increase or decrease if the filing is a rate change. If a combination of
76 changes is filed (i.e., increases and decreases), each change should be described, as
77 well as the net impact effect on company revenues;

78 (67) Describe the general effect of, and reasons for, the change if tariff, price list,
79 or contract filings involve only text changes; and

80 (78) Include an authorizing statement in the following form: **[from -280]**

81
82 (Name and Title of Issuing Agent) is authorized to issue and file tariffs
83 on behalf of (Utility)_____.

84
85
86 _____ (Signature of Authorizing Agent) (Date)

87
88
89 _____ (Print Name) (Title)

90
91 _____ (Utility)

92
93

93
94
95
96

II. TARIFFS

New Section

97 **480-80-1X1 Tariff filing instructions.**

98 (1) A utility that is required to have a tariff on file with the commission must file and
99 maintain its tariff(s) with the commission as required in the RCW's and WAC's of the
100 state of Washington.

101 (2) A utility may not give effect to revised tariff sheets until the commission
102 approves the tariff filing by issuing an order or allows the new or changed provisions to
103 become effective by operation of law. **[from -270(1)]**

104 (3) If the commission issues an order directing a utility to refile all or a portion of
105 its tariff, the utility must refile marking each affected sheet **[from -270(2)]** with the
106 docket number.

107 (4) A tariff filing must:

108 (a) Be in accordance with statutory notice requirements;

109 (b) Be clearly marked with the effective date on each revised tariff sheet;

110 (c) Be free from all charges for postage; **[from -060]**

111 (d) Include an original and two copies of each revisedfiled tariff sheet; and

112 (e) Be accompanied by a transmittal letter in compliance with the provisions of
113 WAC 480-80-0X3.

114 (5) The tariff filing must meet the requirements contained in applicable RCW's
115 and WAC's. Specifically, to the extent applicable, utilities are subject to rules regarding
116 rate filings in chapter 480-09 WAC, including but not limited to:

117 (a) WAC 480-09-015 - Submission of "confidential" information;

118 (b) WAC 480-09-101 - When communications are received;

119 (c) WAC 480-09-120 - Filing and service filing by telefacsimile; number of copies;

120 (d) WAC 480-09-330 - Filing requirements – General rate increases;

121 (e) WAC 480-09-337 - Filing requirements – General rate increases water
122 utilities; and

123 (f) WAC 480-09-340 - Compliance filings.

124 (6) The tariff filing must include information sufficient to justify that the tariff filing
125 is in the public interest.

126 (7) When a tariff or revised tariff sheet(s) becomes effective, the commission will
127 return one copy of the transmittal letter and one copy of each revised tariff sheet to the
128 utility marked with the receipt date. **[from -050]**

129 (8) The commission may require a utility to refile a complete tariff depending on
130 the extent of the tariff changes. **[from -350]**

131

New Section

133 **480-80-1X2 Tariff content.**

134 (1) Title page. The first sheet of the tariff must include:

135 (a) Tariff number;

136 (b) The cancelled tariff number, when applicable;

137 (c) The types of services covered by the tariff;

138 (d) An identification of the territory to which the tariff applies;

139 (e) Effective date of the sheet; and

140 (f) The complete name, address, phone number, unified business identifier (UBI)
141 number, and if available, the electronic mail address and web page address of the
142 issuing utility. **[from –200]**

143 (2) Index or table of contents. The second section of the tariff must be updated,
144 when applicable, whenever a tariff sheet is added, revised, or cancelled. It must
145 include:

146 (a) Tariff number;
147 (b) Name of the utility issuing the tariff;
148 (c) Effective date of the revised index or table of contents sheet; and
149 (d) A complete and accurate list of the contents of the tariff. **[from –210]**

150 (3) **Legend of Symbols.** This section must identify all symbols used in the tariff
151 to identify changes resulting from the filing of the specific sheet change. The list must
152 include the required symbols and their meanings, and any other utility-specific symbol
153 with its meaning, consistent with the requirements identified in WAC 480-80-1X3(6).

154 (4) **Rules section.** The rules section sets forth the conditions governing services
155 under the tariff.

156 (a) The rules section must include the following, when applicable:

157 (i) Application for service;
158 (ii) Definition of service;
159 (iii) Reconnection charge;
160 (iv) Service connection;
161 (v) Installation of meters;
162 (vi) Distribution main extension and line extension (except where filed as a
163 rate schedule);
164 (vii) Responsibility for, and maintenance of, distribution plant and service
165 lines;
166 (viii) Access to premises;
167 (ix) Interruptions to service;
168 (x) Bills;
169 (xi) Deposits;
170 (xii) Delinquent accounts;
171 (xiii) Discontinuance of service; and
172 (xiv) The method the utility will use to give notice to its customers of
173 changes within the limits of a banded rate. **[from – 220(1)]**

174 (b) Gas companies must include the requirements set out in:

175 (i) WAC 480-90-233(2) Purchased gas adjustment (may be included in
176 rules section or rates section);
177 (ii) WAC 480-90-330(1) Heating value of gas; and
178 (iii) WAC 480-90-343 Statement of meter test procedures.

179 (c) Electric companies must include the requirements set out in WAC 480-100-
180 343 Statement of meter test procedures.

181 (d) Rules for specific services may be included in either the rate schedule section
182 or the rules section.

183 (5) **Rate schedule section.**

184 (a) Rate schedule sheets must include the following, when applicable:

185 (i) Schedule number;
186 (ii) Title describing service (may include customer class, location available,
187 and whether service is optional);
188 (iii) Availability;

189 (iv) Rate;
190 (v) Minimum charge;
191 (vi) Discount; and
192 (vii) All other factors entering into the computation of the bills under the
193 schedule.

194 (b) Telecommunications companies must also provide the following information,
195 when applicable, based upon the type of service offered:

196 (i) **Exchange service rate schedules** that include:

- 197 (A) Primary rate schedules;
- 198 (B) Private branch exchange rate schedules;
- 199 (C) Miscellaneous rate schedules; and
- 200 (D) Exchange area maps.

201 (ii) **Inter-exchange service rate schedules** that include:

- 202 (A) Basic rate schedules;
- 203 (B) Supplementary rate schedules; and
- 204 (C) List of toll points. **[From -230]**

205 **New Section**

207 **480-80-1X3 Tariff format.**

208 (1) **Tariff format.** A utility must clearly print or type all tariffs on eight and one-half inch
209 by eleven-inch paper, with at least one-half inch margins on each side. **[from -140].**
210 Tariffs filed electronically must be capable of being printed according to procedures
211 identified by the commission.

212 (2) **Tariff numbering.**

213 (a) A utility filing more than one kind of service, such as electric and gas, must
214 file separate tariffs for each type of service.

215 (b) Each ~~completely~~ new tariff ~~filing~~ must use the next available WN U-number.
216 The WN U-number must be the official designation of the tariff. **[From -150]**

217 (3) **Sheet requirements.** Every sheet of the tariff must contain:

- 218 (a) A tariff number;
- 219 (b) A tariff sheet number;
- 220 (c) The name of the utility issuing the tariff;
- 221 (d) The effective date; **[From -160]** and
- 222 (e) A blank area in the upper right hand corner, at least two inches wide and one
223 and one-half inches high, for commission use.

224 (4) **Sheet numbering.**

225 (a) Each tariff sheet must have a different sheet number.

226 (b) The first time a tariff sheet is published, a utility must mark it as "original
227 sheet."

228 (c) The utility must use the same sheet number on all subsequent changes and
229 number the revised sheets sequentially as follows:

230
231 On the first revision, designate the sheet as:

232
233 FIRST REVISION OF SHEET
234 CANCELLING
235 ORIGINAL SHEET

238 On the second revision, designate the sheet as:

239
240 SECOND REVISION OF SHEET
241 CANCELLING
242 FIRST REVISION OF SHEET
243

244 (d) Each tariff revision sheet must use consecutive revision numbers and indicate
245 the cancellation of the superseded sheet.

246 (e) The commission will not consider tariff sheets that have been rejected or
247 withdrawn before they become effective when numbering subsequent tariff changes.

248 (f) When a utility cancels and removes a tariff sheet, it must not reactivate the
249 sheet during the life of the tariff unless it is cancelled with a notation that the number is
250 reserved for future use. **[from –180]**

251 (5) **Reserving sheet numbers.** As a utility constructs its initial tariff, it may
252 consider reserving sheet numbers for future filings of additional rates and rules. ~~This~~
253 ~~will assure that future filings will be in proper relation to schedules already filed.~~ **[from-**
254 **190]**

255 (6) **Tariff symbols.** Each time a tariff sheet~~(s)~~ is revised, a utility must code
256 all changes to the previous version with a tariff symbol.

257 (a) Tariff changes must include symbols that indicate the purpose and effect of
258 the change.

259 (b) A utility must locate the symbols on the right hand side of the changed
260 text directly across from the change.

261 (c) A utility must use the following list of symbols to signify:

262
263 **D** - discontinued rate, service, regulation or condition;

264 **N** - new rate, service, regulation, condition or sheet;

265
266 **I** - a rate increase;

267 **R** - a rate reduction;

268
269 **C** - changed condition or regulation;

270
271 **K** - that material has been transferred **to** another sheet in the tariff (A
272 footnote is required on the tariff sheet to identify the material's new
273 sheet number.);

274 **M** - that material has been transferred **from** another sheet in the tariff (A
275 footnote is required on the tariff sheet to identify the material's former
276 sheet number.);

277
278 **T** - a change in text for clarification;

279
280 **O** - no change (This symbol is discretionary unless specifically requested
281 by the commission.).

282
283 (d) A utility may use additional symbols for other purposes as long as the utility-
284 specific symbols are identified in its tariff as provided for in WAC 480-80-1X2(3).
285
286

287
288

New Section

289 480-80-1X4 Substitute pages.

290 (1) The commission may accept substitute pages amending a pending tariff sheet if the
291 substitute pages:

292 (a) Do not materially change the terms and conditions of service contained in the
293 pending tariff sheet;

294 (b) Do not increase the rates contained in the pending tariff sheet; ~~or~~

295 (c) Make typographical corrections to the pending tariff sheet; or

296 (d) reflect agreements reached by the utility and the commission staff while the
297 tariff filing is pending.

298 (2) A utility submitting substitute pages must include a transmittal letter that
299 explains the changes and includes the notation "Do Not Redocket."

300 (3) The commission retains discretion to reject any substitute pages where doing
301 so is in the public interest.

302
303

Amend 480-80-070

304 480-80-1X6 Tariff changes with statutory notice.

305 (1) The commission must receive tariff changesfilings with thirty days' notice as required
306 by RCW 80.28.060 and RCW 80.36.110. Telecommunications companies that meet
307 the requirements of RCW 80.36.110(2) may file with ten days' notice to the commission.

308 (2) The notice period begins with the date the commission receives the tariff
309 changes. The commission will consider tariff changes received on Saturdays, Sundays,
310 and holidays, or after the times identified in subsection (3) as having been received on
311 the following business day.

312 (3) The filing times and requirements for tariff changesfilings are as follows:

313 (a) Mailing. The commission must receive an original and two copies of the
314 revised tariff sheet(s)filing and a transmittal letter by 5:00 p.m. Pacific time.

315 (b) Telefacsimile filing must be in accordance with WAC 480-80-0X4.

316 (c) Electronic filing must be in accordance with WAC 480-80-0X5.

317
318

Amend 480-80-240

320 480-80-1X7 Tariff changes with less than statutory notice.

321 (1) The commission may allow tariff changesfilings to become effective with less than
322 statutory notice when the utility provides good cause. This process is known as "less
323 than statutory notice" (LSN) handling. A utility filing for LSN handling may use an LSN
324 form supplied by the commission, or a transmittal letter containing at least the following
325 information:

326 (a) Utility information:

327 (i) Name and address of utility;

328 ~~(ii) Unified business identifier (UBI) number;~~

329 ~~(iii)~~ Telephone number, e-mail address, and facsimile number; and

330 ~~(ivii)~~ Name of contact person for the filing.

331 (b) Tariff identification information:

332 (i) Number of the tariff being amended;

- 333 (ii) Title of the tariff item(s) being amended, if applicable; and
 334 (iii) Number of the tariff sheet being amended.
 335 (c) Concise description of the changes being proposed;
 336 (d) Reason(s) for requesting LSN handling;
 337 (e) Effective date requested; and
 338 (f) An authorizing statement in the following form:

339
 340 (Name and Title of Issuing Agent) is authorized to issue and file tariffs
 341 on behalf of (Utility)_____.

342
 343 _____
 344 (Signature of Authorizing Agent) (Date)

345
 346 _____
 347 (Print Name) (Title)

348
 349 _____
 350 (Utility)

351 (2) The revised tariff must include an effective date not less than the required
 352 statutory notice period.

353 (3) If the LSN request is granted, the commission will change the effective date to
 354 reflect the authorized LSN effective date.

355
 356 **New Section**

357 **480-80-1X8 Tariff changes that do not require statutory notice.** *[from -240(2)]*

358 At least one day before the effective date, a utility must file with the commission tariff
 359 changesfilings that do not require statutory notice, which include:

- 360 (1) Initial tariffs filed by a newly regulated utility;
 361 (2) A filing for a service not previously provided bycontained within the regulated
 362 utility's existing
 363 tariff;
 364 (3) A tariff change that reflects no basic change affecting the public; and
 365 (4) A change in a banded rate when notice to customers has been or will be
 366 given in accordance with tariff rules applicable to the service.

367
 368 **New Section**

369 **480-80-1X9 Failure to provide statutory notice.** *[from -070]*

370 A tariff issued without the required statutory notice to the commission and the public has
 371 the same status as if the tariff had not been issued. A utility must give full statutory
 372 notice on any reissued tariff.

373
 374
 375 **New Section**

376 **480-80-1X10 Withdrawing a tariff filing.**

377 (1) When withdrawing a filing that the commission has not suspended, a utility must
 378 submit a letter that includes the following information:

- 379 (a) Name and address of utility;

- 380 (b) Docket number;
- 381 (c) Advice number, if applicable;
- 382 (d) Name of contact person for the withdrawal; and
- 383 (e) An authorizing statement in the following form:

384 (Name and Title of Issuing Agent) is authorized to withdraw the tariff
 385 filing on behalf of (Utility)_____.

386 _____
 387 (Signature of Authorizing Agent) (Date)

388 _____
 389 (Print Name) (Title)

390 _____
 391 (Utility)

392 ~~(2) When withdrawing a filing that the commission has suspended, a utility must~~
 393 ~~submit a letter that contains all the information in subsection (1) and explains why it is~~
 394 ~~requesting the withdrawal. The proposed withdrawal will take effect only upon~~
 395 ~~commission order.~~

400 **Amend 480-80-250**

401 **480-80-1X12 Tariff adoption notice.**

402 (1) A utility must file a tariff adoption notice with the commission if any of the following
 403 changes affect an existing tariff:

404 ~~(a) Change in ownership;~~

405 ~~(ba)~~ Transfer of all or part of the operating control or ownership from one utility to
 406 another; or

407 ~~(cb)~~ Utility name change.

408 (2) The acquiring utility must file the tariff adoption notice if there is a change in
 409 ownership or operating control. ~~The surviving utility must file the tariff adoption notice if~~
 410 ~~there is a name change.~~

411 (3) Content of the tariff adoption notice must contain, at a minimum, the following:

412 (Name of Utility) adopts and makes its own in every respect all tariffs,
 413 supplements and amendments filed with the Washington Utilities and
 414 Transportation Commission by (Name of Previous Utility or Prior
 415 Name of the Utility) prior to (Date).

416 (4) The tariff adoption notice may be made effective on one day's notice.

417 (5) ~~In the event of a change in control or ownership, as described above, the~~
 418 ~~utility adopting the tariff must file to incorporate the adopted tariff in its own tariff within~~
 419 ~~sixty days of the date of the filing of the adoption notice. except that In the event of a~~
 420 ~~name change, the time limit is one year ~~if the adoption is required due to a name~~~~
 421 ~~change.~~

422 **[from -260]**

423 (6) Until the utility that adopted a tariff refiles the tariff in its own name, all
 424 changes after the adoption must include:

425 (a) The name of the utility whose tariff was adopted at the top of the sheet;

429 and

430 (b) The name of the utility that adopted the tariff at the bottom of the sheet.

431

432 **480-80-2X5 Price list availability to customers.**

433 (1) Each utility must maintain a complete copy of the price list that is on file with the
434 commission either in its business office, if the utility serves a small geographic area with
435 a business office reasonably accessible to the public it serves, or on a web site
436 accessible to the public using standard web browser software.

437 (2) Each utility must include in each customer bill or notice the Internet address
438 (uniform resource locator) of the web site containing its price list.

439 (3) Each utility must provide to any customer making a written or oral request a
440 copy of the price list applicable to that customer's service. The utility must provide the
441 price list at no charge to the customer. This subsection does not apply if the utility
442 makes available for public inspection, at a location within the customer's exchange, a
443 complete copy of the price list.