

**Exhibit No. ___ (AW-5)
Docket UW-101818
Witness: Amy White**

BEFORE THE WASHINGTON UTILITIES AND TRANSPORTATION COMMISSION

**WASHINGTON UTILITIES AND
TRANSPORTATION COMMISSION,**

DOCKET UW-101818

Complainant,

v.

MARIA K. LINDBERG,

Respondent.

EXHIBIT TO

DIRECT TESTIMONY OF

Amy White

STAFF OF

**WASHINGTON UTILITIES AND
TRANSPORTATION COMMISSION**

***Technical Assistance Email from Amy White to Terryl Cooper and Maria Lindberg,
Dated July 13, 2010, Without Printout of Docket UW-090839
Settlement Agreement But with Other Attached Files***

June 23, 2011

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From: White, Amy (UTC)
Sent: Tuesday, July 13, 2010 9:51 AM
To: 'terrylcooper@hotmail.com'
Cc: Maria Lindberg
Subject: Attached items
Attachments: UW-090839 Settlement Agreement 1-29-10.pdf; A01 Initial Filing Assessment Checklist.docx; Loan_surcharge_reporting_form.xls

Hi Terry,

Here are the items we discussed this morning regarding both the surcharge accounting filing and the expected rate case filing which is currently due by July 15. Please be sure to call me with questions.

Amy I. White | Regulatory Analyst
Utilities & Transportation Commission, Regulatory Services Division
P.O. Box 47250 | 1300 S. Evergreen Park Dr SW, Olympia, WA 98504
phone: 360.664.1247 | fax: 360.586.1150 | awhite@utc.wa.gov

This email states the informal opinions of commission staff, offered as technical assistance, and are not intended as legal advice. We reserve the right to amend these opinions should circumstances change or additional information be brought to our attention. Staff's opinions are not binding on the commission.



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INITIAL FILING ASSESSMENT CHECKLIST

A01-A04

Does the filing include:

1. A cover letter which must:

(a) Provide a description of the filing, and the requested action, in understandable terms;

Choose an item.

A01

Authority or Standard: WAC 480-07-530 (1)(a); WAC 480-80-015

(b) State why the filing is being made (for example, increased costs for water testing, salaries, or a new water treatment);

Choose an item.

Authority or Standard: WAC 480-07-530 (1) (b); WAC 480-80-015

(c) Describe each service that is impacted and the dollar and percentage change for each service as well as the net impact of all changes on the company's total regulated revenue.

Choose an item.

Authority or Standard: WAC 480-07-530 (1) (c); WAC 480-80-015

2. Revised tariff pages

The proposed tariff must include explanatory markings (as described in WAC 480-80-105).

Choose an item.

A02

Authority or Standard: WAC 480-07-530(2); WAC 480-80-105; WAC 480-80-015

3. Notice(s) to customers

A copy of the notice mailed to customers. The draft notice must have been provided to Consumer Protection staff for review at least one week prior to the filing.

Choose an item.

A03

Authority or Standard: WAC 480-07-530(3); WAC 480-110-425(1); WAC 480-80-015

4. Work papers

The supporting work papers for the test period including:

A04

Authority or Standard: WAC 480-07-530 (4); WAC 480-80-015

(a) A calculation of the revenue impact of proposed rates by each class affected;

Choose an item.

(b) Balance sheet and statement of revenues and expenses;

Choose an item.

(c) Depreciation schedule;

Choose an item.

(d) Adjustments proposed including a schedule showing adjustments to the statement of revenues and expenses, including any restating adjustments and/or pro forma adjustments including the effect of proposed rates;

Choose an item.

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TASK / STATUTORY AUTHORITY OR PROFESSIONAL STANDARD	ANALYST COMMENTS AND CONCLUSIONS	WORKPAPER REFERENCE
(e) Work papers that explain both restating and pro forma adjustments that the company proposes, specifying all relevant assumptions, and including specific references to charts of accounts, financial reports, studies, and all similar records relied on by the company in preparing its filing, and its supporting testimony and exhibits.	Choose an item.	
(f) Usage statistics verifying test year revenues and proposed revenues.	Choose an item.	
(g) Public water system identification number assigned by the Washington department of health for each system that the new rates will affect.	Choose an item.	
(h) Schedule showing separation of revenues and expenses between regulated and nonregulated operations.	Choose an item.	
(i) Information about every transaction with an affiliated interest or subsidiary that directly or indirectly affects the proposed rates. This must include: A full description of the relationship, terms and amount of the transaction, the length of time the relationship has been ongoing, and an income statement and balance sheet for every affiliated entity.	Choose an item.	
Additional Authority or Standard: <u>RCW 80.16</u>		

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 Company Name

Capital Improvements Surcharge Quarterly Report
 For the Quarter Ended _____

Docket # _____

Fund Balance Per Last Report \$ _____

Receipts:	Billed	Paid
Month 1 _____	_____	_____
Month 2 _____	_____	_____
Month 3 _____	_____	_____
	Total Deposits	\$ _____

Expenditures:		
_____		_____
_____		_____
_____		_____
_____		_____
_____		_____
_____		_____
_____		_____
	Total Expenses	\$ _____

Fund Balance @ End of Quarter \$ _____

Number of Customers @ End of Quarter _____

Loan Balance (amount owing) Per Last Report \$ _____

Principal Paid _____

Interest Paid _____

Loan Balance (amount owing) End of Quarter \$ _____

Notes: _____

 Signature

 Date