

WATER/WASTEWATER UTILITY PA PUC REPORTING REQUIREMENTS

Following are descriptions of water/wastewater utility reports required by the Pennsylvania Public Utility Commission (PUC), and the associated PUC contact for that specific report. Each company is responsible to adhere to all of the established rules, regulations and directives of the Commission on reporting requirements of utilities. For questions on a specific report please contact the person listed as the PUC Contact for that report. All other inquiries may be directed to the Bureau of Technical Utility Services at (717) 783-5242.

Report Name & Description	PUC Contact
<p>Annual Financial Report (52 Pa. Code § 65.19; 66 Pa. C.S. § 504 and § 3301)</p> <p>The Annual Financial Report consists of a balance sheet, income statement, and various other forms in a format as determined by the Commission.</p> <p>Due Date: April 30 for reports based on calendar year. July 31 for reports based on fiscal year ending May 31.</p>	<p>Bambi Reese bamreese@pa.gov (717) 705-0934 Bureau of Technical Utility Services</p>
<p>Quarterly Earnings Report (Docket No. L-00910061, 52 Pa. Code § 71.3)</p> <p>Quarterly form filed by water companies to summarize their earnings and capital structure. All utilities with revenues greater than \$1 million are required to file a 4th Quarter Report. Those with revenues more than \$10 million or with an active DSIC must file all four of the Quarterly Reports.</p> <p>Due Date: May 31, August 31, November 30, and March 31 for 1st, 2nd, 3rd, and 4th Quarter Reports, respectively.</p>	<p>Vanessa Johns vanjohns@pa.gov (717) 214-9114 Bureau of Technical Utility Services</p>
<p>Assessment Report (Form GAO-25) (66 Pa. C.S. § 510(b))</p> <p>All jurisdictional public utilities must report gross intrastate operating revenues for the preceding calendar year. A public utility is assessed its share based on its operating revenue for the year.</p> <p>Due Date: March 31 of each year.</p>	<p>Assessment Section ra-pcpucassessments@pa.gov (717) 265-7548 Bureau of Administration</p>

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<p>Accident Reports (Form UCTA-8) (52 Pa. Code § 65.2)</p> <p>All water and wastewater public utilities shall submit a report of each reportable accident involving the facilities or operations of the public utility in the Commonwealth of Pennsylvania.</p> <p>Due Date: Per incident, written report must be submitted within 30 days of occurrence of reportable accident, and telephone notification may be required immediately or within one day (see Form UCTA-8).</p>	<p>Derek Ruhl druhl@pa.gov (717) 787-7904 Bureau of Technical Utility Services</p>
<p>Public Utility Security Planning and Readiness Self-Certification Form (52 Pa. Code § 101.1 – § 101.7)</p> <p>All jurisdictional utilities are required to develop and maintain appropriate written physical security, cyber security, emergency response, and business continuity plans to protect the intrastate infrastructure. The utilities must fill out the form and mail it to the Secretary of the Commission (with attention to Angel Elwell) by February 28th. The forms may no longer be emailed to the Commission due to security concerns.</p> <p>Due Date: February 28 of each year.</p>	<p>Derek Ruhl druhl@pa.gov (717) 787-7904 Bureau of Technical Utility Services</p>
<p>Service Outages (52 Pa. Code § 67.1)</p> <p>All public utilities must notify the Commission when 2,500 or 5.0%, whichever is less, of their total customers have a service interruption in a single incident for six or more consecutive hours.</p> <p>Due Date: Per incident, within ten working days after the total restoration of service.</p>	<p>Derek Ruhl druhl@pa.gov (717) 787-7904 Bureau of Technical Utility Services</p>
<p>State Tax Adjustment Surcharge (52 Pa. Code § 69.51-§ 69.56)</p> <p>The STAS (State Tax Adjustment Surcharge) was implemented under the State Tax Procedure Order of the Commission dated March 10, 1970, as amended, which permits jurisdictional utilities to recover portions of the Capital Stock Tax, corporate Net Income Tax and Gross Receipts Tax and Public Realty Tax through a surcharge on rates charges to customers. STAS is to be rolled into base rates or otherwise reduced to zero after 24 months.</p> <p>Due Date: March 31 of each year.</p>	<p>Joel Greene joelgreene@pa.gov (717) 783-4454 Bureau of Technical Utility Services</p>

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Report Name & Description	PUC Contact
<p>Annual Water Audit Summary (Docket No. M-2008-2062697)</p> <p>All water utilities with revenues over \$1,000,000 are required to file annual water audit summary reports in compliance with the Tentative Opinion and Order entered November 10, 2011, at Docket No. M-2008-2062697 which became final December 10, 2011. These reports are to utilize the American Water Works Association’s (AWWA’s) Water Loss Control Methodology and be completed in version 6.0 or later of AWWA’s free water audit software. Filings should reference Docket No. M-2026-3059580.</p> <p>Due Date: April 30 of each year.</p>	<p>James Kennedy jameskenne@pa.gov (717) 783-3971 Bureau of Technical Utility Services</p>
<p>Residential Account Reporting (52 Pa. Code § 56.231)</p> <p>Water utilities with revenues over \$1 million must report certain deposit, billing, termination, and restoration of service activities for residential accounts. A complete list of required information can be found at: https://www.pacode.com/secure/data/052/chapter56/s56.231.html.</p> <p>Due Date: A Monthly filing is due within 15 days after the end of each month, and an annual filing is due within 90 days after the end of each year.</p>	<p>Katie Liddell kliddell@pa.gov (717) 783-5332 Bureau of Consumer Services</p>
<p>Asset Optimization Plan (52 Pa. Code § 121.6)</p> <p>Utilities with a DSIC must report information concerning all eligible property repaired, improved and replaced within the past and upcoming 12-month periods. A complete list of required information can be found at: https://www.pacode.com/secure/data/052/chapter121/s121.6.html.</p> <p>Due Date: Within 60 days after each 12-month period of an LTIP.</p>	<p>Ken Shaffer kennshaffe@pa.gov (717) 787-2359 Bureau of Technical Utility Services</p>
<p>DSIC Updates (66 Pa. C.S. § 1357(d))</p> <p>Utilities with a DSIC must provide quarterly and annual updates. Supporting data must be served upon the Office of Consumer Advocate and the Office of Small Business Advocate at least 10 days prior to the effective date of the update.</p> <p>Due Date: Each quarter a DSIC is implemented, and an annual reconciliation is required January 31 of each year.</p>	<p>Lori Burger lburger@pa.gov (717) 425-7847 Bureau of Audits</p>

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<p>Annual Depreciation Report (52 Pa. Code § 73.3)</p> <p>Water utilities with gross intrastate revenue over \$20 million must report required information. A complete list of required information can be found at: https://www.pacode.com/secure/data/052/chapter73/s73.4.html. A copy of the report must be served on the Office of Consumer Advocate and the Office of Small Business Advocate.</p> <p>Due Date: June 30, unless, if a service life study is due the same year, the utility may notify the Secretary before June 30 that both reports will be filed by August 31.</p>	<p>Ken Shaffer kennshaffe@pa.gov (717) 787-2359 Bureau of Technical Utility Services</p>
<p>Service Life Study (52 Pa. Code § 73.5-73.6)</p> <p>Water utilities with gross intrastate revenue over \$20 million must report required information. A complete list of required information can be found at: https://www.pacode.com/secure/data/052/chapter73/s73.6.html. A copy of the report must be served on the Office of Consumer Advocate and the Office of Small Business Advocate.</p> <p>Due Date: August 31 every five years.</p>	<p>Ken Shaffer kennshaffe@pa.gov (717) 787-2359 Bureau of Technical Utility Services</p>
<p>Capital Investment Plan Report (52 Pa. Code § 73.7-73.8)</p> <p>Water utilities with gross intrastate revenue over \$20 million must report required information. A complete list of required information can be found at https://www.pacode.com/secure/data/052/chapter73/s73.8.html. A copy of the report must be served on the Office of Consumer Advocate and the Office of Small Business Advocate.</p> <p>Due Date: August 31 every five years.</p>	<p>Ken Shaffer kennshaffe@pa.gov (717) 787-2359 Bureau of Technical Utility Services</p>
<p>Diversity Report (52 Pa. Code § 51.13)</p> <p>Each electric, natural gas, water and wastewater utility with a net plant-in-service value greater than \$10 million must file an annual report describing its diversity program activity for the prior year.</p> <p>Due Date: March 31 of each year.</p>	<p>Vanessa Johns vanjohns@pa.gov (717) 214-9114 Bureau of Technical Utility Services</p>

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<p>Lead Service Line Replacement (LSLR) Program Report (52 Pa. Code § 65.59)</p> <p>An entity with an approved LSLR program shall file with the Commission a LSLR program report, in both print and electronic formats, including supporting spreadsheets. If an entity is implementing its LSLR plan as part of a Commission-approved LTIP, the entity shall include a LSLR program report as part of the entity's Annual Asset Optimization (AAO) plan under § 121.6.</p> <p>Due Date: March 1 of each year.</p>	<p>Matthew Lamb, P.E. mlamb@pa.gov (717) 783-1001 Bureau of Technical Utility Services</p>