

## APPENDIXES

The following appendices are unavailable and can be found in NYCRR 16 – Public Service – Volume C.

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\*Recently added – awaiting updates.

APPENDIX 1-A

COMPLAINT, SCHEDULED, AND OFFICE TESTS  
WATTHOUR METERS

Watthour Meter Tests made during the month of \_\_\_\_\_, 20\_\_\_\_\_  
By \_\_\_\_\_ Company.

Total number of meters in service \_\_\_\_\_

FINAL AVERAGE PERCENTAGE REGISTRATION	NUMBER of METERS	METERS ACQUIRED DURING MONTH		
		MONTH	TYPE	APPROXIMATE NUMBER
<b>COMPLAINT TESTS:</b>				
Not Registering				
Less than 98%				
98% to 102%				
More than 102%				
Indeterminate				
Total				
<b>SCHEDULED TESTS:</b>				
Not Registering				
Less than 98%				
98% to 102%				
More than 102%				
Indeterminate				
Total				
<b>OFFICE TESTS:</b>				
Not Registering				
Less than 98%				
98% to 102%				
More than 102%				
Indeterminate				
Total				
Total Meters Tested		Total:		

The above report is a correct summary of all watthour meter Complaint, Scheduled and Office Tests made by this utility, and all tests were conducted according to the rules of the Public Service Commission.

Signed by \_\_\_\_\_  
Official Title \_\_\_\_\_



## APPENDIX 1-C

### SERVICE TESTS WATTHOUR METERS

Watthour Meter Tests made during the month of \_\_\_\_\_, 19\_\_\_\_  
 By \_\_\_\_\_ Company.  
 Manufacturer's Name \_\_\_\_\_ Meter Type \_\_\_\_\_  
 Total number of this type meter in service \_\_\_\_\_  
 (Only one meter type to be reported on each form)

Tests at Heavy Load Number of Meters	Percentage Registration	Tests at Light Load Number of Meters
	Not Registering	
	0.01 to 80	
	80.01 to 90	
	90.01 to 95	
	95.01 to 98	
	98.01 to 99	
	99.01 to 100	
	100.01 to 101	
	101.01 to 102	
	102.01 to 103	
	103.01 to 110	
	110.01 to 120	
	Above 120	
	Indeterminate	
	Total Meters Tested	

The above report is a correct summary of all Service Tests of the type of watthour meter indicated above made by this utility, and all tests were conducted according to the rules of the Public Service Commission.

The above tests are included in the report of Complaint, Scheduled, and Office tests.

Signed by \_\_\_\_\_  
 Official Title \_\_\_\_\_

## APPENDIX 1-D

### COMPLAINT, SCHEDULED, AND OFFICE TESTS DEMAND METERS AND REGISTERS

Demand Meter Tests made during the month of \_\_\_\_\_ 19\_\_\_\_

By \_\_\_\_\_ Company  
CALLER      METER      METER #

Name of Service \_\_\_\_\_

PERCENTAGE REPRESENTATION IN TERMS OF SALE SCALE	NUMBER OF DEMAND METERS					METERS ACQUIRED DURING MONTH		
	GRADE					Meters	Type	Approximate Number
	1	2	3	4	Total			
<b>COMPLAINT TESTS:</b>								
Not Registering								
Less than 98%								
98% to 100%								
More than 100%								
Indeterminate								
Total								
<b>SCHEDULED TESTS:</b>								
Not Registering								
Less than 98%								
98% to 100%								
More than 100%								
Indeterminate								
Total								
<b>OFFICE TESTS:</b>								
Not Registering								
Less than 98%								
98% to 100%								
More than 100%								
Indeterminate								
Total								
<b>Total Meters Tested</b>						<b>Total</b>		

\* Includes Groups 1 and 2

The above report is a correct summary of all Demand Meter Complaint, Scheduled and Office Tests made by this utility, and all tests were conducted according to the rules of the Public Service Commission.

Signed by \_\_\_\_\_

Official Title \_\_\_\_\_

## APPENDIX 1-E

### SERVICE TESTS DEMAND METERS AND REGISTERS

Demand Meter Tests made during the month of ..... 19.....  
 By .....Company.  
 Manufacturer's Name ..... Meter Type.....  
 Total number of this type meter in service .....  
 (Only one meter type to be reported on each form)

Percentage Registration in Terms of Half-Scale	Demand Meters	* Associated Watthour Meter Elements
Not Registering		
0.01 to 50		
50.01 to 80		
80.01 to 95		
85.01 to 98		
98.01 to 99		
99.01 to 100		
100.01 to 101		
101.01 to 102		
102.01 to 105		
105.01 to 110		
110.01 to 120		
Above 120		
Indeterminate		
Total Meters Tested		

\* This column applies to Group 4 demand meters only.

The above report is a correct summary of all Service Tests of the type of demand meter indicated above made by this utility, and all tests were conducted according to the rules of the Public Service Commission.

The above tests are included in the report of Complaint, Scheduled, and Office tests.

Signed by .....

Official Title .....

## Appendix 6-A

### LIST OF FORMS - ANNUAL REPORTS

REPORTING GROUP	PRESCRIBED FORM
<b>ELECTRIC CORPORATIONS AND GAS CORPORATIONS:</b>	
Classes A and B Electric, Gas or Electric and Gas combined (average annual operating revenues exceeding \$ 250,000 in either department) .....	Form 182
Classes C and D Electric, Gas or Electric and Gas combined (average annual operating revenues between \$ 15,000 and \$ 250,000 in either department) ....	Form 182 A
Electric, Gas or Electric and Gas combined (average annual operating revenues \$ 15,000 or less in either department) .....	Form 190
Lessor Electric and Gas Companies.....	Form 190 (modified)
Inchoate and Dormant Electric and Gas Companies.....	Form 240
Incidental Gas or Electric Business (subject to order of P.S.C., Second District, 11-13-11).....	Form 251
Incidental Gas or Electric Business (subject to Parts 155 and 295).....	Form 251 A
<b>STEAM CORPORATIONS:</b>	
All Steam Companies.....	Form 241
Incidental Steam Business (subject to Part 444).....	Form 251 A
<b>WATERWORKS CORPORATIONS:</b>	
Classes A and B (average annual operating revenues of \$ 700,000 or more)....	Form 347
Classes C and D (average annual operating revenues of \$ 100,000 but less than \$ 700,000).....	Form 347 CD
Companies having average annual operating revenues less than \$ 100,000.....	Form 347 E
Incidental Waterworks Business (subject to Part 545).....	Form 251 A
<b>TELEPHONE CORPORATIONS:</b>	
Telephone Corporations with annual operating revenue of \$9,000,000 or more.....	205 and 210
Telephone Corporations.....	223
AT&T Communications of New York, Inc.....	223 with Addendum
Other Common carriers.....	225
Cellular Communications Companies.....	235
<b>MUNICIPALITIES OPERATING ELECTRIC, GAS OR STEAM UTILITIES:</b>	
Electric.....	Form 195
Electric and Gas.....	Form 195 (modified)
Gas.....	Abbreviated Form E
Steam.....	Form 241

## Appendix 6-B

### DECLARATION OF POLICY RE UTILITY EMPLOYEE PENSION COSTS

Consistent with our opinion of March 9, 1950, we hold that employee pensions are elements of current labor costs and as such constitute a present benefit. The treatment of costs of employee pensions in the determination of rates has been given consideration and the following general policy will govern in such proceedings.

1. All costs of a reasonable pension plan, not provided heretofore, will be allowed as operating expenses in determining rates. Where advance provision is being made for future pension payments, however, a portion of the charge may be considered deferrable to a later period, if in the judgment of the Commission an unreasonable proportion of the pension cost is being charged currently.

2. In determining, for a utility subject to Federal income tax and making advance provision for pension payments, whether its pension plan is a reasonable one, the Commission will give consideration to whether the plan is approved by or acceptable to the Commissioner of Internal Revenue for tax purposes.

3. Under ordinary circumstances no portion of the pension charges will be disallowed on the ground that it relates exclusively to a prior service period. However, where the adoption of a comprehensive program of advance provision is unreasonably deferred, the charges may be disallowed to the extent that the recognized liability on the date of adoption is increased and the increase is directly attributable to the extended lapse of time.

4. Ordinarily a utility will not be permitted to spread over a period of less than ten years provision for that portion of pension costs which are considered to arise from service prior to the date at which provision for future pension payments had been commenced or shall hereafter be commenced. The particular period is to be determined in each case with due regard to the financial burden involved.

5. While paragraph 1 recognizes all employee pension costs as operating expenses, this does not prohibit a utility from allocating to construction and retirement work orders and to clearing and other accounts an applicable portion of the cost of employee pensions.

## Appendix 6-C

### OPINION OF THE COMMISSION -- DECLARATION OF POLICY RE EMPLOYEE PENSION COSTS

Eddy, Commissioner:

The problem of the accounting treatment of pensions is one of increasing importance. This Commission last passed directly on the problem in Case 11800 involving the Village of Lake Placid. The Utility Workers Union, CIO, requested this Commission to reconsider its previous attitude as expressed in that case, and for that reason this proceeding was brought dealing with all of the prescribed accounting systems for the various utilities under the jurisdiction of the Commission.

It was announced at the hearing that tentatively the Commission, after having taken the briefs of the parties, would prepare proposed changes in its accounting regulations. Such changes are in the course of preparation, and will be considered at a future hearing.

There are presently before the State Legislature certain proposed amendments to the Public Service Law dealing with the problem. Since it does not presently seem possible to afford an adequate hearing on the proposed changes before the Legislature adjourns, the Commission feels that a general statement of the principles by which this Commission will be guided should presently be made.

There has been throughout the last thirty years a very great change in the social thinking of this country in respect to pensions. At one time, as defined by the Court of Appeals (see *268 N.Y. 228*), pensions were regarded as a "gratuity of the sovereign". Gradually that concept has changed until today pensions are regarded not as a favor or a gift but as part of the compensation of the employee. We think there can be no better statement than that quoted by the Circuit Court of Appeals for the Seventh Circuit in the *Inland Steel* case, *170 F.2d 247*:

". . . we are convinced and find that the term 'wages' as used in Section 9(a) must be construed to include emoluments of value, like pension and insurance benefits, which may accrue to employees out of their employment relationship . . . Realistically viewed, this type of wage enhancement or increase, no less than any other, becomes an integral part of the entire wage structure, and the character of the employee representative's interest in it, and the terms of its grant, is no different than in any other case where a change in the wage structure is effected."

By the same token, with the change in concept of the nature of a pension there has likewise been a change in the accounting concept. In November of 1948 and subsequent to our decision in the Lake Placid case, the Committee on Accounting Procedure of the American Institute of Accountants, dealing with accounting for annuity costs based on past services, said:

"1. When costs incurred under pension plan are based in part on services performed prior to the adoption of the plan, the problem arises whether that portion of the costs which are attributable to such services are applicable to the past or to the present and future periods and, accordingly, whether they should be charged to income. This bulletin deals with the accounting treatment of such costs arising out of past services when incurred under pension plans involving payments to outside agencies such as insurance companies and trustees."

2. The committee has undertaken a statement on this subject at this time because of the trend toward expansion of pension plans to cover a wider and much larger group of employees, often at substantially increased costs, and in order to narrow the area of difference in the accounting treatment accorded in actual practice to annuity costs based on past services. Self-administered and informal plans which do not require payments to outside agencies are not specifically dealt with because of their special features and lack of uniformity. The principals set forth herein, however, are generally applicable to those plans as well.

"3. Charges with respect to pension costs based on past services have often been made to surplus on the grounds that such payments are indirectly compensation for services and, since the services upon which the payments are computed were performed in the past, the compensation should not be permitted to affect any period or periods other

than those in which the services involved were performed. In other cases all annuity costs based on past services have been charged to income in the period of the plan's inauguration as a current cost of originating the plan. In still other cases the position has been taken that a pension plan cannot bring the anticipated benefits in the future unless past as well as future services are given recognition and, accordingly, annuity costs based on past services have been spread over a period of present and future years. The last method is the one permitted under provisions of the Internal Revenue Code.\*

"4. The committee believes that, even though the calculation is based on past services, costs of annuities based on such services are generally incurred in contemplation of present and future services, not necessarily of the individual affected but of the organization as a whole and, therefore, should be charged to the present and future periods benefited. This believe is based on the assumption that although the benefits flowing from pension plans are intangible, they are nevertheless real. The element of past services is one of the important considerations of most pension plans and costs incurred on account of such services contribute to the benefits gained by the adoption of a plan. It is usually expected that such benefits will include better employee morale, the removal of super-annuated employees from the payroll, and the attraction and retention of more desirable personnel, all of which should result in improved operations. "

5. The committee, accordingly, is of the opinion that:

(a) Cost of annuities based on past services should be allocated to current and future period; provided, however, that if they are not sufficiently material in amount to distort the results of operations in a single period, they may be absorbed in the current year.

(b) Costs of annuities based on past services should not be charged to surplus."

"6. The committee does not intend that its recommendations shall require (a) a change in policy calling for charges to income rather than charges to reserves previously provided, or (b) that any recognition be given in the accounts of current or future periods to pension costs written off prior to the issuance of this bulletin." \* See *IRC Sec. 23(p)(1)(A)*.

We must, therefore, conclude not only as a matter of modern economic thinking, but as required by law and accepted practice that pensions are wages and constitute a present benefit. Hence, we must expressly overrule the decision in the Lake Placid case and hold that upon the establishment of a pension plan, whether based on past or future services, or both, the entire charge becomes an operating expense, not an income deduction or a charge to surplus.

We think certain fundamental principles should be stated:

First: If we are to treat pensions as a part of wages, it is essential that the company claiming the deduction as an operating expense will have irrevocably committed itself to the obligation. Title must have passed to the beneficiaries.

Second: The pension plan must be a reasonable one, carry with it the assurance that the obligations which it purports to create can and will be fulfilled and meet the standards of this Commission. If pensions are wages, the matter of pensions is a matter of collective bargaining between the company and its men over which we have no control. However, in a rate proceeding where payments are excessive, while we cannot fix the compensation, we can disallow excessive payments for the purpose of fixing rates. It follows then if pensions are part of compensation, unreasonable payments should likewise not be allowed as a part of operating expenses.

Third: The inclusion in operating expenses should, of course, be made in the year when provisions should be made for it. The definition of the proper year is one of the most vexing problems presented in this matter and, except to state the general principle, this question will be left for further consideration. As in the case of many other operating expenses, there well may be instances in which the Commission should give its approval to amortizing payments over a longer period than the current year in which payment is made.

Fourth: We feel that where companies have undertaken to pay pensions, even if the plan be styled a so-called voluntary plan under which the company may claim it has no legal liability, there exists a high moral responsibility and, as a practical matter, a voluntary plan of long standing cannot be terminated without destroying good labor relations or by compensating the employees in some other form. Where liabilities exist that should be made known by footnotes to the balance or other appropriate entries.

It has been argued that the present provisions in the Uniform System for electric and gas companies are adequate to take care of the problems before us provided we interpret them as they interpreted here in relation to past services. If there is any ambiguity in those provisions, they will in the future be interpreted in accordance with this memorandum until such time as the revision is complete.

With the exception of some portions of the bus industry the relations between labor and management in the utilities in this state are uniformly excellent. In general the workers in the utilities have a high standard of morale. In the utility field above all others a breakdown in good labor relations most seriously affects the public. As previously stated, we have no control over the process of collective bargaining, nor should we attempt to exercise any such control. We must, however, make our determinations in the regulation of utilities so as to remove any obstructions from the path of collective bargaining and to adopt those policies which promote good labor relations, and therefore, better service to the public. For this reason alone, even if we were not compelled to make the determination by the modern legal concept of pensions, we should adopt the principles enunciated here.

I am in accord with Commissioner Arkwright to the extent that any increase in operating expenses tends toward an increase in rates. However, if we are correct in our view that pensions are a form of wages, and if in the course of collective bargaining, the employees of a utility desire a pension rather than benefits in pay, the granting of pensions in any form, will produce no different rates than those that would be produced by an equivalent change in wage scales.

March 9, 1950.

Approved by the Commission March 9, 1950, Commissioner Arkwright in the negative filing a memorandum dated March 9, 1950.

ARKWRIGHT, Commissioner:

I do not oppose retirement or pension plans.

The members of this Commission, and of the prior Commission, were and are in complete accord as to their desirability and the good that necessarily flows from them.

The only point of difference, and the only problem presented, relates to the accumulation of funds to provide for services rendered in the past, by employees to a company and to whether present and future consumers should have to pay costs that previous consumers might have had to pay, if such plans were in effect.

The matter has been before this Commission on several other occasions, and has been most carefully considered. In newly established pension plans, or in these already established where proper actuarial provisions are provided for to take care of retroactive service, the cost thereof must be met. A determination has now been made that these costs should not be paid by the utility or by contributions of the employees, but should be passed on to the public, present and future. This means that, throughout the state, where such plans may be set up, or are in being, these costs must be passed on in the form of increased rates, to the users of gas, electricity, water, and transportation, whether railroad, bus, or freight.

The previous holding of the Commission in no way passed these costs on to the public. It in no way prevented the utility and its employees by agreement and by contributions among themselves from inaugurating and maintaining any kind of retirement or pension plan, whether with accumulated back costs or not. Thus an accumulation of what amounts to past debt, or expenses in connection therewith, was not passed on to current and prospective customers and riders, and their rates were thereby not increased.

In my opinion, the public interest is best served by not passing these particular costs on to the public. March 9, 1950.

## Appendix 7-D

FORM A

STATE OF NEW YORK  
PUBLIC SERVICE COMMISSION

REPORT OF SPECIFICATIONS OF PROPOSED CONSTRUCTION  
OF  
GAS PIPELINE TO BE SUBJECTED TO PRESSURE OF 125 PSIG OR MORE

255.302(Submitted in Triplicate)

Gas Corporation \_\_\_\_\_ Date \_\_\_\_\_  
Route: From \_\_\_\_\_ To \_\_\_\_\_  
New Construction \_\_\_\_\_ Reconstruction \_\_\_\_\_  
Counties traversed \_\_\_\_\_  
Towns traversed \_\_\_\_\_  
Cities traversed \_\_\_\_\_  
Incorporated villages traversed \_\_\_\_\_  
Estimated date: Start of construction \_\_\_\_\_  
Completion of construction \_\_\_\_\_  
Identity of line (gas corporation name or number) \_\_\_\_\_

Required filing: The following maps, sketches, and drawings shall be filed with, and as part of, this report: (a) Two sets of current U.S. Geological Survey maps (7 1/2 or 15-minute) sufficient to show the entire route of the proposed construction or reconstruction and an area of one mile on either side of the route. The route of the construction or reconstruction shall be clearly indicated thereon, and (b) Two sets of strip maps and design drawings showing details of the proposed construction or reconstruction.

NOTE: Where more than one construction design factor is used, the specifications relative to each shall be separately listed. Where necessary, supply the requested information on attached sheets identified by the Roman numeral, number, and letter designation of the item on this form.

### I. General

1. Length
2. Nominal outside diameter, "D", inches
3. Nominal wall thickness, "t", inches
4. Type and/or grade of pipe
5. Manufacturer of steel
6. Manufacturer of pipe
7. Type of longitudinal joint
8. Specified minimum yield strength, psi
9. Nominal ultimate strength, psi
10. Is pipe new or used?
11. If used pipe is employed, describe the inspection and reconditioning
12. Mill test pressure, psi
13. Maximum certified operating pressure, psi
14. Calculated pipe stress (hoop stress) – Where  $PD = \text{stress, psi } 2t$
15. Ratio of pipe stress to yield strength, percent
16. Check of pipe specifications:
  - (a) Are the physical and chemical specifications of pipe to be verified by outside laboratories?
  - (b) By whom?
17.
  - (a) By class locations, what percentage of the welds are to be radiographed?
  - (b) By whom?

- (c) How will gas corporation certify the radiograph technician?
- II. Fabrication
  - What inspection procedures will be followed for detection of gouges, grooves, and dents for:
    - (a) Factory coated pipe
    - (b) Field coated pipe
- III. Railroad, Road, and Water Crossings
  - 1. Railroad crossings
    - (a) List, giving location
    - (b) Indicate whether cased or not; if not cased, provide reason
  - 2. Street or road crossings
    - (a) List, giving location
    - (b) Indicate whether cased or not
    - (c) Indicate if heavier wall carrier pipe used
  - 3. Lake, river, stream, or creek crossings
    - (a) List, giving location
    - (b) Describe any special construction precautions to be followed
  - 4. Pipeline encroachments
    - (a) List any encroachments to railroads by location
    - (b) List any encroachments to roads in which special construction precautions will be employed; identify by location
- IV. Valves
  - 1. Manual valves
    - (a) Number of sectionalizing valves
    - (b) Spacing of sectionalizing valves
  - 2. Type, make, and location of any automatic valves to be used
  - 3. Blowdown procedure
    - (a) Describe method
    - (b) Number, size, and location of blowdown valves
    - (c) Estimated blowdown time for each section of pipeline
- V. Minimum cover
  - If minimum prescribed cover cannot be maintained, indicate location, nature of problem, and special precaution to be observed
- VI. Exposed piping and self-supported spans other than on gas corporation property
  - 1. Number of instances
  - 2. Location of each
  - 3. Reasons for exposed piping
  - 4. Total length in each instance
  - 5. Length of each self-supported span
  - 6. Precautions taken (signs, fences, etc.)
  - 7. What special precautions taken
- VII. Corrosion control
  - 1. Type of field coating:
    - (a) For pipe (if not factory coated)
    - (b) For girth welds and fittings
  - 2. Type of test of coating before backfill
  - 3. Type of test of coating after backfill
  - 4. Proposed cathodic protection
- VIII. Pressure and leakage tests
  - 1. Test pressure
  - 2. Test medium
  - 3. Duration of test
  - 4. Length of test sections

5. What is the source of water supply used?
6. How and where is water disposed of after test?

IX. Purging of pipelines and mains

Description of purging procedure by class location

X. Route of Pipeline

1. Has gas corporation obtained necessary R/W from each party having interest in R/W? If not, what is status?
2. Has gas corporation obtained formal approval and all necessary permits from governmental agencies? If not, what is status?

XI. Class locations

Supply full information for entire length of pipeline to indicate basis of determination of class location of each segment thereof in accordance with *16 NYCRR 255.5*.

XII. Odorizing provisions

1. Type of equipment to be installed
2. Type of odorant to be added
3. Threshold perception to be achieved (percent of L.E.L.)

Appendix 7-F

FORM A

STATE OF NEW YORK  
PUBLIC SERVICE COMMISSION

\* \* \*

REPORT OF SPECIFICATIONS OF PROPOSED CONSTRUCTION  
Of  
LIQUID PETROLEUM PIPELINE TO BE SUBJECTED TO PRESSURE *16 NYCRR 258.4(a)*  
(Submitted in Triplicate)

\* \* \*

Corporation \_\_\_\_\_ Date \_\_\_\_\_

Route: From \_\_\_\_\_ To \_\_\_\_\_

New Construction \_\_\_\_\_ Reconstruction \_\_\_\_\_

Counties traversed \_\_\_\_\_

Towns traversed \_\_\_\_\_

Cities traversed \_\_\_\_\_

Incorporated villages traversed \_\_\_\_\_

Estimated date: Start of construction \_\_\_\_\_

Completion of construction \_\_\_\_\_

Identity of line (corporation name or number) \_\_\_\_\_

\* \* \*

Required filing: The following maps, sketches, and drawings shall be filed with and as a part of this report:

(a) Three sets of current U.S. Geological Survey Maps (7-1/2 or 15-minute) sufficient to show the entire route of the proposed construction or reconstruction and an area of one mile on either side of the route. The route of the construction or reconstruction shall be clearly indicated thereon.

(b) Three sets of strip maps and design drawings showing details of the proposed construction or reconstruction.

\* \* \*

Note: Where more than one construction type design factor is used, the specifications relative to each shall be separately listed. Where necessary, supply the requested information on attached sheets identified by the Roman numeral, number, and letter designation of the item on this form. \* \* \*

I. GENERAL

1. Length
2. Nominal outside diameter, "D," inches
3. Nominal wall thickness, "t," inches
4. Type and/or grade of pipe
5. Manufacturer of steel
6. Manufacturer of pipe
7. Type of longitudinal joint
8. Specified minimum yield strength, psig
9. Nominal ultimate strength, psig
10. Is pipe new or used
11. If used pipe is employed, describe the inspection and reconditioning
12. Mill test pressure, psig

13. Certified maximum operating pressure, psig
14. Calculated pipe stress (hoop stress) psig Where  $PD = \text{stress } 2t$
15. Ratio of pipe stress to yield strength, percent
16. Check of pipe specifications:
  - (a) Are the physical and chemical specifications of pipe to be verified by outside laboratories?
  - (b) By whom?
17. (a) By location, what percentage of the welds are to be radiographed?  
(b) By whom?

II. FABRICATION (SEE *16 NYCRR 258.7*)

What inspection procedures will be followed for detection of gouges, grooves, and dents for:

- (a) Factory coated pipe
- (b) Field coated pipe

III. RAILROAD, ROAD, AND WATER CROSSINGS (SEE *16 NYCRR 258.5*)

1. Railroad crossings
  - (a) List, giving location
  - (b) Indicate whether cased or not; if not cased, provide basis
2. Road crossings
  - (a) List, giving location
  - (b) Indicate whether cased or not (c) Indicate if heavier wall carrier pipe is used
3. Lake, river, stream, or creek crossings
  - (a) List, giving location
  - (b) Describe any special construction precautions to be followed
4. Pipeline encroachments
  - (a) List any encroachments to railroads, by location
  - (b) List any encroachments to roads, in which special construction precautions will be employed; identify by location

IV. VALVES (SEE *NYCRR 258.12*)

1. Manual valves
  - (a) Number of sectionalizing valves
  - (b) Spacing of sectionalizing valves
2. Type, make, and location of any automatic valves to be used

V. MINIMUM COVER AND CLEARANCE (SEE *16 NYCRR 258.6*)

If minimum prescribed cover and clearance cannot be maintained, indicate location, nature of problem, and cover or clearance to be employed, plus special precautions to be observed.

VI. CORROSION CONTROL (SEE *16 NYCRR 258.10*)

1. Type of field coating:
  - (a) For pipe (if not factory coated)
  - (b) For girth welds and fittings
2. Type of test of coating before backfill
3. Type of test of coating after backfill
4. Proposed cathodic protection

VII. PRESSURE AND LEAKAGE TESTS (SEE *16 NYCRR 258.9*)

1. Test pressure
2. Test medium
3. Duration of test
4. Length of test sections

VIII. ROUTE OF PIPELINE

1. Has corporation obtained necessary R/W from each party having interest in R/W? If not, what is status?
2. Has corporation obtained formal approval and all necessary permits from governmental agencies?  
If not, what is status?

IX PIPELINE CERTIFIED TO TRANSPORT THE FOLLOWING LIQUID PETROLEUM PRODUCTS

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Signature of corporation officer

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Title

Appendix 7-G

(cf. Part 255)

NOTIFICATION OF CONSTRUCTION  
FOR  
GAS GATHERING LINES TO BE SUBJECTED TO PRESSURE OF 125 PSIG OR MORE  
OR  
FOR GAS GATHERING LINES TO BE LOCATED IN AN AREA USED FOR COMMERCIAL FARM PURPOSES

COMPANY \_\_\_\_\_ DATE \_\_\_\_\_

DESCRIPTION OF PROJECT \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

LOCATION OF PROJECT (file a copy of the map filed with the Article VII application)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

ESTIMATED STARTING DATE \_\_\_\_\_

ESTIMATED COMPLETION DATE \_\_\_\_\_

PERSON TO BE CONTACTED REGARDING PROJECT \_\_\_\_\_

TELEPHONE NO. \_\_\_\_\_

MAXIMUM ALLOWABLE OPERATING PRESSURE \_\_\_\_\_

LOCATION CLASS\* \_\_\_\_\_

PIPE & COATING DESCRIPTION

a. NOMINAL DIAMETER \_\_\_\_\_

b. NOMINAL WALL THICKNESS \_\_\_\_\_

c. PIPE SPECIFICATION \_\_\_\_\_

d. GRADE \_\_\_\_\_

e. COATING TYPE \_\_\_\_\_

f. METHOD OF APPLICATION \_\_\_\_\_

g. LONGITUDINAL JOINT TYPE \_\_\_\_\_

h. TEST DATA:

a. TEST MEDIUM \_\_\_\_\_

b. DURATION \_\_\_\_\_

c. TEST PRESSURE \_\_\_\_\_

NAMES AND MAILING ADDRESSES OF AFFECTED FARMLAND OPERATORS:

Name

Mailing Address

_____	_____
_____	_____
_____	_____

\* If the line is to be constructed within 150 feet of an existing structure used for a residence or place of business that portion of the line must be constructed to transmission line standards. Under these circumstances, contact the Albany Office of the Gas Division prior to construction: (518) 474-5453.

MINIMUM COVER For each area used for commercial farm purposes complete Appendix 7-G(a), including the statement of the farmland operator and a copy of a map showing each farmland border, nearest public road and the proposed route of the gathering line. Indicate the proposed depth of cover for all segments of the line and respective length of each such segment.

If minimum prescribed cover cannot be maintained, indicate location, nature of problem, and special precautions to be observed.

I hereby certify that this gathering line will be constructed to the requirements of *16 NYCRR 255.9(h)*.

(Signed) \_\_\_\_\_  
Officer of Corporation

Appendix 7-GA

MAP OF AN AREA USED FOR COMMERCIAL FARM PURPOSES  
AND  
REVIEW OF THE PROPOSED DEPTH-OF-COVER BY THE  
FARMLAND OPERATOR

(To be completed for each affected farmland area, as denoted under "Minimum Cover" in Appendix 7-G)

NAME OF FARMLAND OPERATOR FOR THE AFFECTED AREA: \_\_\_\_\_

LOCATION OF AFFECTED FARMLAND AREA: \_\_\_\_\_

\_\_\_\_\_  
(Nearest public road, Town, County)

REVIEW INFORMATION

In areas actively cultivated for commercial farm purposes, as identified by the farmland operator, all pipe shall be installed with a minimum of 40 inches of cover. The farmland operator may allow less than 40 inches of cover if less conforms with normal agricultural practices and planned agricultural engineering projects. The farmland operator may require a depth-of-cover greater than 40 inches where necessary to safely accommodate such practices and projects.

FARMLAND OPERATOR: I am aware that the local Soil Conservation Agent\* is available to discuss with me, prior to executing this document, depth-of-pipeline cover compatible with safe practices and standards of the U.S. Department of Agriculture, Soil Conservation Service, contained in the National Handbook of Conservation Practices and its National Engineering Manual. I have reviewed and have a copy of the proposed map (attached hereto) of the line across my farm.

\_\_\_\_\_  
Date (Signed) Farmland Operator

\* USDA, Soil Conservation Service employee or County Soil and Water Conservation District employee.

## Appendix 7-H

### Derivation of Historical and Current Average Cost of Gas and Net Gas Adjustment

GAC calculated on \_\_\_\_\_, using supplier rates in effect on \_\_\_\_\_,  
 [and] with demand costs based on normalized gas quantities for the twelve months ended \_\_\_\_\_,  
and commodity costs based on estimated sales for the month of \_\_\_\_\_.  
 Historical cost of gas based on actual gas quantities for the twelve months ended \_\_\_\_\_.

Applicable to Service Classification No(s). \_\_\_\_\_

**INSTRUCTIONS:** The format of this Appendix should be used to calculate both the historical average cost of gas (using applicable portions of Sections A-E on a historical company-wide basis) and the current average cost of gas for GAC purposes (using applicable portions of Sections A-D and F-H on a repriced, gas department basis only).

**A. SOURCES OF GAS**

1. List required data by individual source within each category, or summaries by category and attach a detailed listing for each category.
2. Include subtotals for each category.
3. All transportation or costs other than actual gas purchase costs must be matched with the related gas supplies, so that the report will show city-gate delivered costs for each source.

Source (Category)	Units	(\$ /unit)	Rate or Cost ----- -----	\$	Demand ----- -----	\$	---Cost of Gas--- Commodity ----- -----	\$	Total ----- -----
Long Term Firm Purchases (List)									
Subtotals & Average Cost									
Short Term / Spot Purchases (List)									
Subtotals & Average Cost									
Storage Gas (List injections and withdrawals by source)									
Subtotals & Average Cost									
Peaking Gas (LPG, LNG) List by type or source)									
Subtotals & Average Cost									
Transportation (List [net change in inventory balance] by source)									
Total Company Purchased Gas			(S/unit)		\$	\$	\$		

**B. OTHER COSTS** List other costs associated with gas supplies, but which cannot be assigned to individual gas sources (e.g., direct billed charges).  
 (Detail by Type)

Total Other Costs		\$	\$	\$	
-------------------	--	----	----	----	--

C.	Total Cost of Gas (A+B)	(\$ /unit)	\$	\$	\$
----	-------------------------	------------	----	----	----

D. ALLOCATIONS

1. List gas volumes and costs allocated to other utility departments, non-jurisdictional sales, sales not subject to gas adjustments, etc.

2. Attach derivations of each allocation

	Units	Rate	Demand	Commodity	Total
	-----	-----	-----	-----	-----
To Other Departments					
To Non-jurisdictional Sales					
To/from Other Service Classes					
Total Allocations		(\$ /unit)	\$	\$	\$

E.	HISTORIC COST OF GAS FOR GAS SALES (C-D)	(\$ /unit)	\$	\$	\$
----	------------------------------------------	------------	----	----	----

F. COST OF GAS FOR GAS SALES (C-D)

Cost per unit of send-out

Factor of Adjustment [or Sales Volumes]

Avg. unit cost as shown on GAC statement	(\$ /unit)	\$	\$	\$
------------------------------------------	------------	----	----	----

G. CREDIT & SURCHARGES

1. List Credits and Surcharges attributable to Annual Reconciliations, Refunds, Interruptible Margins, Revenue Sharing, Weather Normalization, Etc.

2. Attach worksheets for derivations of each credit or charge when it is first included in the GAC.

(S unit)

Annual Reconciliation Credit  
(Surcharge)

Supplier Refunds  
(List separately)

Other Credits or Surcharges  
(List separately)

H. NET GAC		(\$ /unit)
(Unit adjustment to be applied to customer bills.)		

# ELECTRONIC TARIFF SYSTEM

## UTILITY PREPARER'S GUIDE

### INTRODUCTION

In December 1996, the Department of Public Service inaugurated a new Electronic Tariff System (ETS) which is intended to:

- facilitate the filing of utility tariffs and related documents,
- partially automate the administration of tariff filings by Department staff, and
- improve accessibility to utility tariffs for all users.

The following guidelines are intended to assist utility personnel in the preparation and submission of electronic tariffs. Because this guide is meant to supersede tariff filing requirements formerly specified in 16 NYCRR, provisions are also required to accommodate the continued submission of tariffs in paper format, pending conversion to an electronic submission. Accordingly, applicable provisions of 16 NYCRR are also included herein to address the requirements of paper tariff submissions.

### PROVISIONS APPLICABLE TO ELECTRONIC TARIFF FILINGS

#### ETS FILING REQUIREMENTS

Systems and computer programs employed by the Department of Public Service in ETS impose certain requirements on electronic tariff filings. Among the more basic of these requirements are:

- all documents must be submitted in WordPerfect 5.1/5.2 format
- each document must be contained in a separate file, and the file format and name must conform to the rules described below
- all documents associated with a particular filing must be attached to a single E-Mail message
- all submissions must include a letter of transmittal
- use of graphics should be avoided

In addition to these basic requirements, there are additional requirements unique to each type of document that may be included in a tariff submission.

#### LETTER OF TRANSMITTAL

ETS requires that each filing be accompanied by a LETTER OF TRANSMITTAL. The LETTER OF TRANSMITTAL will consist of a single WordPerfect document which may be one or more pages in length. The LETTER OF TRANSMITTAL must include LETT as the first four characters of the document name; the remaining one to four characters to the left of the period, as well as the three letter suffix to the right of the period may contain any valid characters permitted by DOS's 8.3 naming convention. For example, LETT01.WPF is a valid name (despite having only six characters to the left of the period). TRANSMITTAL.FIRST is not because: a) it does not contain LETT as the first four characters of the name, b) more than eight characters exist to the left of the period (perhaps due to the use of Windows 95 capability for longer names) contrary to DOS's 8.3 naming convention, and c) the suffix to the right of the period contains more than the allowed three characters.

All electronic documents, including the LETTER OF TRANSMITTAL must, at a minimum, contain two specific header lines which are not required on hard copy submissions (as discussed below, other header lines may also be required in electronic filings). Each header line will begin with a label which must be capitalized. The first header line must contain only the DID: label, which should be left justified. No other text is permitted on this line! The remaining space is reserved for use by the Department's document retrieval system which will assign a unique document identification number essential to its proper functioning.

The second line of every electronic document, including the LETTER OF TRANSMITTAL must contain the label ..TXT: which also must be left justified. Unlike the first line additional text may follow this label on the second line. For a LETTER OF TRANSMITTAL, however, the remainder of this line will usually be left blank, with the text of the letter beginning on succeeding lines.

NOTE: WordPerfect formatting commands should not be contained within a document header. Formatting commands may precede the ..DID: label if required to format the header information, but preferably should appear at the beginning of the first line following all header information to ensure proper formatting of the document's text.

The remainder of the electronic LETTER OF TRANSMITTAL document should be comprised of the text of the letter. Generally, the LETTER OF TRANSMITTAL should contain only text. Embedded graphics, such as a company logo, will not be retained intact and should be avoided. An example of a letter of transmittal is shown in Figure 1.

..DID:  
..TXT:

ACME ELECTRIC CORPORATION  
123 Any Way  
Big City, NY 12345-6789

April 1, 1996

Debra Renner, Acting Secretary  
New York State Public Service Commission  
3 Empire State Plaza  
Albany, NY 12223-1350

Dear Secretary Renner:

TEXT  
OF  
LETTER

Sincerely, John D. Owner  
President

encl.

Figure 1

## SAPA NOTICE

Certain filings propose changes to utility tariffs which require official notification through publication in the *State Register* pursuant to the State Administrative Procedures Act (SAPA). Filings which require SAPA notification should include a draft of a proposed notice. For electronic filings, the draft SAPA notice will consist of a single WordPerfect document which may be one or more pages in length. The document name for a draft SAPA notice must include SAPA as the first four characters to the left of the period; the remainder of the name as well as the three letter suffix to the right of the period may contain any valid characters permitted by DOS's 8.3 naming convention (e.g. SAPAPROP.WPD).

As with the electronic LETTER OF TRANSMITTAL, a draft SAPA notice must contain two header lines. The first line must contain only the ..DID: label which should be capitalized and left justified. The second line of a draft SAPA notice must contain the label ..TXT: which also must be capitalized and left justified. While it is permitted for additional text to follow this label on the second line, for a draft SAPA notice the remainder of the line will probably be blank, with the text of the draft SAPA notice beginning on succeeding lines.

The remainder of the draft SAPA notice should be comprised of the text of the notice. An example of a draft SAPA notice is shown in Figure 2.

..DID:

..TXT:

(SAPA No.            )

NYS DEPARTMENT OF STATE  
NOTICE OF PROPOSED RULEMAKING

---

PUBLIC SERVICE COMMISSION

REMAINING  
TEXT  
OF  
SAPA

Figure 2

## TARIFF LEAF

Individual tariff leaves comprise the bulk of a utility's tariff. ETS requires that each TARIFF LEAF consist of a single page, and that each TARIFF LEAF be contained in a separate WordPerfect document. There are no restrictions with respect to the naming of a TARIFF LEAF document except that it comport with DOS's 8.3 naming convention.

As with all electronic documents, a TARIFF LEAF must contain two header lines. The first line must contain only the ..DID: label, which should be capitalized and left justified. The second line of every TARIFF LEAF document must contain the label ..TXT: which also must be capitalized and left justified. Certain additional information is also required in the header of an electronic TARIFF LEAF in the lines immediately following the ..DID: and ..TXT: labels. All required information must be preceded by an identifying tag as follows:

**PSC NO:** this tag will appear on the second line, and will be separated from the ..TXT: label by at least one space. The tag should be followed by one space, and then the applicable schedule to which the filed TARIFF LEAF applies, followed by another space and one of the permitted schedule types (e.g. 123 GAS). The schedule type must be one of the following: COMMUNICATIONS, ELECTRICITY, GAS, STEAM, OR WATER. Capitalization and proper spelling are critical.

**LEAF:** this tag must also appear on the second line, separated from the PSC NO: tag (and following entry) by at least one space. This tag should also be followed by one space and then the number of the TARIFF LEAF. Leaf numbers may only contain numbers between 0 and 9, and periods. Letters and special characters are not allowed. An initial tariff filing may only contain sequentially numbered leaves; e.g. 1, 2, 3, ... Subsequently, new leaves may be added to the existing tariff through the use of leaf numbers next in sequence (e.g. if the last TARIFF LEAF currently in effect is labeled LEAF: 22, new leaves may be added beginning with LEAF: 23), or may be inserted between existing leaves by expanding the numbering sequence. For example, if it is necessary to add a leaf between existing LEAF: 6 and LEAF: 7, the new TARIFF LEAF should be designated as LEAF: 6.1. If the material being inserted requires more than one TARIFF LEAF, the numbering sequence should continue with LEAF: 6.2, etc. Likewise, a new TARIFF LEAF between LEAF: 6.1 and LEAF: 6.2, should be designated as LEAF: 6.1.1. Each TARIFF LEAF, including the cover, must be numbered using this numbering convention.

**COMPANY:** this tag will appear left justified on the third line of a TARIFF LEAF, and will be followed by one space and the official company name.

**REVISION:** this tag will also appear on the third line, separated from the company name by at least one space. The tag will be followed by one space and then the revision number of the TARIFF LEAF. The original of each leaf will be designated as REVISION: 0. Subsequent revisions to a particular TARIFF LEAF would be sequentially designated, e.g. REVISION: 1, REVISION: 2, etc.

**INITIAL EFFECTIVE DATE:** this tag must appear on the fourth line, left justified, and be followed by one space and the initial effective date of the TARIFF LEAF. The date must be in the format mm/dd/yy and zero filled; e.g., 06/04/96. (Note: calendar year 2000 will be represented as 00, 2001 as 01, etc.)

**SUPERSEDING REVISION:** this tag must also be on the fourth line, separated from the INITIAL EFFECTIVE DATE: tag (and following entry) by at least one space, and be followed by one space and the revision number of the TARIFF LEAF that the new leaf is superseding. If the TARIFF LEAF is an original, the space following this tag should be left blank. For example, SUPERSEDING REVISION: 6 would be appropriate for a new leaf designated as REVISION: 7.

**STAMPS:** this tag must appear on the fifth line. Generally, no additional company generated text may appear following this tag. The notable exception to this exists when the TARIFF LEAF is issued at the direction of the Commission. Under such circumstances, the tag may be followed by one space and the notation: Issued in compliance with order in C. NN-C-NNNN (where N represents a numerical value and C a character value) dated (display date in form: mm/dd/yy). This line should be followed by eight (8) blank lines to provide room for department staff to add all applicable stamps, such as to note postponements, suspensions, cancellations, etc.

**RECEIVED: STATUS: EFFECTIVE:** these three tags must appear on the line following the eighth blank line. The tags must be separated by at least one space. All information [1]relative to the date the filing was received, its status, and its effective date will be added by Department staff.

All lines following this header information may be used by the company for the text of the TARIFF LEAF. However, the first non-blank line of such text on each page (including cover page) must consist of a simple topical heading, such as P.S.C. No. 123 - Electric, Table of Contents, General Provisions, or Service Classification No. 1 (as noted above, the first line of text should also begin with WordPerfect formatting commands as may be required). A topical heading must not run over to subsequent lines, although subsequent lines may further define the topic. For example, the first line might be designated as Service Classification No. 1, and might be further defined by having the term Residential Service displayed on the second line. The same topical heading may appear on more than one page, and may include one of the following case insensitive notations, as may be appropriate: CONTINUED, -CONTINUED, CONT'D, CONTD, -CONTD, (CONTINUED), (CONT'D), OR (CONTD). Figure 3 exemplifies a typical electronic TARIFF LEAF.

..DID: LEAF: 5.2  
..TXT: PSC NO: 123 GAS REVISION: 7  
COMPANY: ACME ELECTRIC COMPANY SUPERSEDING REVISION: 6  
INITIAL EFFECTIVE DATE: 12/22/96  
STAMPS:  
<1st blank line>  
< >  
< >  
< >  
< >  
< >  
< >  
< >  
<8th blank line>

RECEIVED: STATUS EFFECTIVE:  
GENERAL INFORMATION (Cont'd)  
Application for Service  
2.4 The applicant may be required to submit a written application.....

REMAINING  
TEXT  
OF  
TARIFF  
LEAF

Issued by: I. M. DeBoss, President, Big Town, New York

Figure 3

## ADDENDUM

Each electronically filed tariff ADDENDUM must be contained in a separate WordPerfect document which may be more than one page in length. The document name must include ADDE as the first four characters. The remaining four characters to the left of the period and the three letter suffix to the right may contain any characters permitted by DOS's 8.3 file naming convention.

As with all documents, an electronically filed ADDENDUM must have only the ..DID: label left justified on the first line, and must have at the very left of the second line the ..TXT: label. Certain additional information must also be present in the initial lines of an ADDENDUM. All required information must be preceded by an identifying tag as follows:

**PSC NO:** this tag will appear on the second line, and will be separated from the ..TXT: label by at least one space. The tag will be followed by one space, and then the applicable schedule to which the ADDENDUM being filed applies, followed by another space and the schedule type. (e.g. 123 GAS). The schedule type must be one of the following: COMMUNICATIONS, ELECTRICITY, GAS, STEAM, OR WATER. Capitalization and proper spelling are critical.

**ADDENDUM TYPE:** this tag will also appear on the second line, separated from the PSC NO: tag (and following entry) by at least one space. This tag will also be followed by one space and then up to a four character designation of the company's choosing.

**COMPANY:** this tag will appear left justified on the third line of an ADDENDUM, and will be followed by one space and the official company name.

**ADDENDUM NO:** this tag will also appear on the third line, separated from the company name by at least one space. The tag will be followed by one space and then the ADDENDUM number. ADDENDUM numbers must be sequentially numbered within any given ADDENDUM TYPE: For example, if the last filed XYZ ADDENDUM was ADDENDUM NO: 12, the next XYZ ADDENDUM must be ADDENDUM NO: 13.

**INITIAL EFFECTIVE DATE:** this tag must appear on the fourth line, left justified, and be followed by one space and the initial effective date of the ADDENDUM. The date must be in the format mm/dd/yy.

**STAMPS:** this tag must appear on the fifth line. Generally, no additional company generated text may appear following this tag. The notable exception to this exists when the ADDENDUM is issued at the direction of the Commission. Under such circumstances, the tag may be followed by one space and the notation: Issued in compliance with order in C. NN-C-NNNN (where N represents a numerical value and C a character value) dated (display date in form: mm/dd/yy). This line should be followed by eight (8) blank lines to provide room for department staff to add all applicable stamps.

**RECEIVED: STATUS: EFFECTIVE:** these three tags must appear on the line following the eighth blank line. The tags must be separated by at least one space. All information relative to the date the filing was received, its status, and its effective date will be added by Department staff.

All lines following this header information may be used by the company for the text of the ADDENDUM, although the first line should indicate the topic of the addendum. Figure 4 exemplifies an electronic tariff ADDENDUM.

..DID:

..TXT: PSC NO: 123 GAS

COMPANY: ACME ELECTRIC COMPANY

INITIAL EFFECTIVE DATE: 12/15/96

STAMPS:

<1st blank line>

< >

< >

< >

< >

< >

< >

<8th blank line>

ADDENDUM TYPE: GAS

ADDENDUM NO: 5

RECEIVED: STATUS EFFECTIVE:

SPECIAL CONTRACT NO. 2 FOR GAS DELIVERIES

TEXT  
OF  
ADDENDUM

Issued by: I. M. DeBoss, President, Big Town, New York

Figure 4

STATEMENT

Each electronically filed tariff STATEMENT must be contained in a separate WordPerfect document which may be more than one page in length. The document name must include STATE as the first four characters. The remaining four characters to the left of the period and the three letter suffix to the right may contain any characters permitted by DOSS 8.3 file naming convention.

An electronic STATEMENT must have only the ..DID: label left justified on the first line, and must have at the very left of the second line the ..TXT: label. Certain additional information must also be present in the initial lines of a STATEMENT. All required information must be preceded by an identifying tag as follows:

**PSC NO:** this tag will appear on the second line, and will be separated from the ..TXT: label by at least one space. The tag will be followed by one space, and then the applicable schedule to which the STATEMENT being filed applies, followed by another space and the schedule type. (e.g. 123 GAS). The schedule type must be one of the following: COMMUNICATIONS, ELECTRICITY, GAS, STEAM, OR WATER. Capitalization and proper spelling are critical.

**STATEMENT TYPE:** this tag will also appear on the second line, separated from the PSC NO: tag (and following entry) by at least one space. This tag will also be followed by one space and then up to a four character designation of the company's choosing (Note: certain designations, such as GAC, FAC and RTS are commonly used, but other designations are permitted).

**COMPANY:** this tag will appear left justified on the third line of a STATEMENT, and will be followed by one space and the official company name.

**STATEMENT NO:** this tag will also appear on the third line, separated from the company name by at least one space. The tag will be followed by one space and then the STATEMENT number. STATEMENT numbers must be sequentially numbered within any given STATEMENT TYPE: For example, if the last filed GAS STATEMENT was numbered 12, the next GAS STATEMENT must be numbered 13.

**INITIAL EFFECTIVE DATE:** this tag must appear on the fourth line, left justified, and be followed by one space and the initial effective date of the STATEMENT. The date must be in the format mm/dd/yy.

**STAMPS:** this tag must appear on the fifth line. Generally, no additional company generated text may appear following this tag. The notable exception to this exists when the STATEMENT is issued at the direction of the Commission. Under such circumstances, the tag may be followed by one space and the notation: Issued in compliance with order in C. NN-C-NNNN (where N represents a numerical value and C a character value) dated (display date in form: mm/dd/yy). This line must then be followed by eight (8) blank lines to provide room for Department staff to add all applicable stamps, such as to note postponements, suspensions, cancellations, etc.

**RECEIVED: STATUS: EFFECTIVE:** these three tags must appear on the line following the eighth blank line. The tags must be separated by at least one space. All information relative to the date the filing was received, its status, and its effective date will be added by Department staff.

All lines following this header information may be used by the company for the text of the STATEMENT. Figure 5 exemplifies an electronic tariff STATEMENT.

..DID:

..TXT: PSC NO: 123 GAS

COMPANY: ACME ELECTRIC COMPANY

INITIAL EFFECTIVE DATE: 12/15/96

STATEMENT TYPE: GAC

STATEMENT NO: 5

STAMPS:

<1st blank line>

< >

< >

< >

< >

< >

< >

<8th blank line>

RECEIVED: STATUS EFFECTIVE:

NOVEMBER 1996 GAS ADJUSTMENT CLAUSE STATEMENT

TEXT  
OF  
STATEMENT

Issued by: I. M.. DeBoss, President, Big Town, New York

Figure 5

SUPPLEMENT

Each electronically filed tariff SUPPLEMENT must be contained in a separate WordPerfect document which may be more than one page in length. The document name must include SUPP as the first four characters. The remaining four characters to the left of the period and the three letter suffix to the right may contain any characters permitted by DOS's 8.3 file naming convention.

As with other documents, an electronic SUPPLEMENT must have only the ..DID: label left justified on the first line, and must have at the very left of the second line the ..TXT: label. Certain additional information must also be present in the initial lines of a SUPPLEMENT. All required information must be preceded by an identifying tag as follows:

**PSC NO:** this tag will appear on the second line, and will be separated from the ..TXT: label by at least one space. The tag will be followed by one space, and then the applicable schedule to which the SUPPLEMENT being filed applies, followed by another space and the schedule type. (e.g. 123 GAS). The schedule type must be one of the following: COMMUNICATIONS, ELECTRICITY, GAS, STEAM, OR WATER. Capitalization and proper spelling are critical.

**SUPPLEMENT TYPE:** this tag will also appear on the second line, separated from the PSC NO: tag (and following entry) by at least one space. This tag will also be followed by one space and then one of the allowable SUPPLEMENT types: ADOP (adoption), CANC (cancellation), POST (postponement), or SUSP (suspension).

**COMPANY:** this tag will appear left justified on the third line of a SUPPLEMENT, and will be followed by one space and the official company name.

**SUPPLEMENT NO:** this tag will also appear on the third line, separated from the company name by at least one space. The tag will be followed by one space and then the SUPPLEMENT number. SUPPLEMENT numbers must be sequentially numbered within any given SUPPLEMENT TYPE: For example, if the last filed POST

SUPPLEMENT was numbered 12, the next POST SUPPLEMENT must be numbered 13. INITIAL EFFECTIVE DATE: this tag must appear on the fourth line, left justified, and be followed by one space and the initial effective date of the SUPPLEMENT. The date must be in the format mm/dd/yy. STAMPS: this tag must appear on the fifth line. Generally, no additional company generated text may appear following this tag. The notable exception to this exists when the SUPPLEMENT is issued at the direction of the Commission. Under such circumstances, the tag may be followed by one space and the notation: Issued in compliance with order in C. NN-C-NNNN (where N represents a numerical value and C a character value) dated (display date in form: mm/dd/yy). This line must then be followed by eight (8) blank lines to provide room for Department staff to add all applicable stamps, such as to note postponements, suspensions, cancellations, etc.

**RECEIVED: STATUS: EFFECTIVE:** these three tags must appear on the line following the eighth blank line. The tags must be separated by at least one space. All information relative to the date the filing was received, its status, and its effective date will be added by Department staff.

All lines following this header information may be used by the company for the text of the SUPPLEMENT. Figure 6 exemplifies an electronic tariff SUPPLEMENT.

```
..DID:
..TXT: PSC NO: 123 GAS          SUPPLEMENT TYPE: POST
COMPANY: ACME ELECTRIC COMPANY  SUPPLEMENT NO: 5
INITIAL EFFECTIVE DATE: 12/15/96
STAMPS:
<1st blank line>
<      >
<      >
<      >
<      >
<      >
<      >
<      >
<      >
<8th blank line>
RECEIVED:  STATUS  EFFECTIVE:

                POSTPONEMENT OF CHANGES PENDING IN CASE 96-G-9999

                        TEXT
                        OF
                SUPPLEMENT

                Issued by: I. M. DeBoss, President, Big Town, New York
```

Figure 6

E-MAIL

All electronically filed tariffs are to be submitted by means of E-Mail. The following should be observed when making an E-Mail submission:

-- The originators E-Mail address (as it will appear in the From portion of an E-Mail submission) must be registered with the Department of Public Service. If different from the issuing E-Mail address, the address to which feedback from the Department relative to any action taken on a filing must also be registered. Please consult the attached list for specific Department contacts to register an E-Mail address.

-- As noted above, a tariff filing is likely to consist of a number of individual documents, each containing a separate one page tariff leaf, or individual documents comprising a letter of submission, a tariff addendum, supplement or statement, or a SAPA notice. Regardless of the number of documents comprising a particular filing, all must be attached to the same E-Mail message. (NOTE: Because some E-Mail software restricts the number of attachments, it may be necessary to obtain different software which can accommodate this requirement. We regret any inconvenience this may cause.)

-- Attachments may be submitted in MIME or UUENCODE format. Usually, this is a function of the specific E-Mail package being used, and does not normally require user intervention.

-- All official E-Mail documents should be sent to:

edi-tariff@ dps.state.ny.us

## TEST SUBMISSIONS

The initial conversion of utility tariff schedules to ETS will require close coordination between the utility and staff. Utilities should consult with staff relative to a mutually agreeable schedule prior to the submission of an original tariff schedule. Once the original tariff schedule is on file, the company is then free to submit changes without prior notification of staff.

To prepare for the transition of a tariff schedule to ETS, the company may find it desirable to submit test documents to ensure compatibility between company and Department systems. Staff welcomes the opportunity to work with the company in such testing. Again, please consult the attached list of staff contacts to coordinate a testing schedule. Once all parties are satisfied of system compatibility, a mutually agreeable date for the submission of the official schedule can be established. Staff appreciates your cooperation during the transition period.

## PROVISIONS APPLICABLE TO PAPER TARIFF FILINGS

### HARD COPY TARIFF FILING REQUIREMENTS

The following procedures supplement 16 NYCRR and apply to the filing of hard copy tariffs with the New York State Public Service Commission.

### LETTER OF TRANSMITTAL

The Letter of Transmittal will be typed in the format for an electronic filing as shown in Figure 1 of this Appendix except that the ..DID: and ..TXT: labels are not required and should not be included.

### SAPA NOTICE

The SAPA notice will typed in the format for an electronic filing as shown in Figure 2 of this Appendix except that the ..DID: and ..TXT: labels are not required and should not be included.

### Tariff amendments, supplements, statements, and addenda

#### Number of Copies::

- (a) Electric, gas and steam corporations and municipalities shall file three copies of all amendments, supplements, statements and addenda (five copies if applicable to the Metropolitan district).
- (b) Telephone corporations shall file three copies of all amendments, supplements and statements.
- (c) Water-works corporations shall file four copies of all amendments, supplements and statements.

#### Acknowledgement of Filing Receipt



Format for Addendum

Tariff Addendum shall be typed in the format shown on Figure 8.

Format for Supplements

Tariff Supplements shall be typed in the format shown on Figure 9.

Format for Statements

Tariff Statements shall be typed in the format shown on Figure 10.

ACME COMPANY

P.S.C. No. 1-GAS

Addendum Type: \_\_\_\_\_

Addendum No.: \_\_\_\_\_

SPECIAL CONTRACT FOR GAS DELIVERIES

TEXT  
OF  
ADDENDUM

Date of Issue September 29, 1998

Date Effective October 1, 1998

Issued by: I. M. DeBoss, President, Big Town, New York

Figure 8

ACME COMPANY

P.S.C. No. 1-GAS

Supplement No.: \_\_\_\_\_

TEXT  
OF  
SUPPLEMENT

Date of Issue September 29, 1998

Date Effective October 1, 1998

Issued by: I. M. DeBoss, President, Big Town, New York

\*Not applicable for suspension supplements

Figure 9

ACME COMPANY

P.S.C. NO. 1-GAS

Statement Type: \_\_\_\_\_

Statement No.: \_\_\_\_\_

TEXT  
OF  
STATEMENT

Date of Issue September 29, 1998

Date Effective October 1, 1998

Issued by: I. M. DeBoss, President, Big Town, New York

Figure 10

## Appendix 9A

### TESTING OF METERS; REPORTS OF TESTS

#### INSTRUCTIONS FOR REPORTING METER TESTS ON REVISED FORM NO. 2

##### STATUS OF METER TESTING

The data required under this heading is self-explanatory and is the same as that previously reported under the same heading on Revised Form No. I.

##### GENERAL INSTRUCTIONS

Revised Quarterly Report, Form 2, is designed to reveal the results of meter testing and to furnish certain data relating to meters prepared for service. The primary purpose is to determine the results of the testing of so-called Time and Registration Limit meters and to ascertain the manner in which such meters are being prepared for return to service. For the purpose of this report Time and Registration Limit meters are those meters which have reached or exceeded the limits shown in subdivision (b) of section 500.1 of the rules and regulations governing the testing of water meters, as ordered by the Public Service Commission. For example, a 5/8-inch meter in service 5 years or a 2-inch meter in service 4 years without having been tested is a Time Limit meter and likewise any 5/8-inch meter in service through which 750,000 gallons of water have passed without testing of the meter is designated as a Registration Limit meter. Of course, many meters are removed from service for reasons other than because they are Time or Registration Limit meters, as for example, a 5/8-inch meter removed from a vacant house after two years of service. Such meters are accordingly classed as "Other Meters" and, whereas Form 2 [following] indicates that information is required as to the test results of such meters upon removal (Table A), data is not requested regarding the preparation of such meters for service (Table B). A 6-inch current meter tested once each year would be classed as a Time Limit meter, but if a particular 6-inch meter is tested for a second time in any one year, the second test would be included under "Other Meters" since the second test was not required in accordance with P.S.C. regulations and is therefore not strictly a Time Limit test. In other words, meters removed from service for testing or meters tested in the field for the purpose of complying with the P.S.C. regulations regarding time and registration intervals are classed Time or Registration Limit Meters; all other meters removed for test or tested in the field after having been in service are classed as "Other Meters". It is important to note that if a meter should stop registering and should also be a Time Limit meter, it should be so identified in both respects as the Form requires a recording of such information, and the cause of removal for such a meter should be "Stopped--Time Limit" and not merely "Stopped". Obviously, this will provide information as to whether stopped or non-registering meters have exceeded the time or registration limits or not, as the case may be. Similarly for frozen meters, the proper sub-designation should be given, although the added sub-designation "Time or Registration Limit" in such cases is not quite so important.

The form provides space to indicate whether the meter upon testing passed the P.S.C. test. Thus, if the test result meets the requirements indicated in the paragraphs relating to "Tests of Meters" of the P.S.C. Regulations, it is recorded as "Passed P.S.C. Test". For example, a 5/8-inch meter is removed from service and classified as "Time Limit". It is tested at the shop with the following results:

<u>Rate of flow</u> <u>G.P.M.</u>	<u>Accuracy of registration</u> <u>per cent</u>
20.0	98.5
2.0	101.0
0.25	Steady Movement

This meter would be recorded as "Passed P.S.C. Test", since it did not fall below 98.0 per cent and did not exceed 101.0 per cent at the selected rates within "Normal Test Flow Limits" and it also showed proper sensitivity at the "Minimum Test Flow" of 0.25 g.p.m. If this meter had recorded 97.0 per cent at 20.0 g.p.m. or if it had exceeded 101.0 per cent at 2.0 g.p.m. or if it had failed to move at all at 0.25 g.p.m., it would then have failed in one of the three instances to meet the P.S.C. test requirements. All requirements of the Regulation have to be met in order to classify the meter as "Passed P.S.C. Test".

## TABLE A

This part of the form shows the results of the routine testing of meters and also indicates the number of "non-registering" meters brought into the shop or found stopped in the field. The data required appears to be self-explanatory.

The number of new meters tested for the given period is shown in Column (b) and all such meters either passed the P.S.C. test or were re-gear or calibrated to meet the test requirements. Column (c) shows the number of Time Limit meters tested and Column (d) indicates how many "Passed the P.S.C. Test" requirements with the obvious conclusion that the difference failed to pass. Columns (i), (j) and (k) show the number of Time and Registration Limit Meters which were brought in because stopped, those in Column (k) having been frozen and the others having stopped from other causes. Columns (l) and (m) Other Meters are to show those which were neither Time nor Registration Limit Meters and were found stopped or frozen.

## TABLE B

Table B explains how Time and Registration Limit meters were prepared for reinstallation in service and how many meters were retired. Column (o) shows the number of Time Limit meters made ready for service, that is, they were tested and perhaps re-gear or repaired to meet the P.S.C. test requirements pertaining to all meters ready for service. There may or may not be any direct relation between the meters shown in Table A and those shown in Table B. It is recognized that a number of meters during any one quarterly period may be tested and the results reported for that quarter, but that the repair work or preparation of such meters for service may not be done until the next quarter and should thus be reported in the proper quarterly report; hence, meters, made ready for service shown in Table B, may or may not be the same meters for which test results are shown in Table A. In general where field tests are concerned, there will be a relation between Tables A and B as field work on any particular meter is generally completed in one day.

The report shows the number of Time Limit Meters [Column (o)] made ready for service, and the manner in which they were made ready is indicated in Columns (p), (q) and (r). Those shown in Column (p) are meters which upon removal from service passed the P.S.C. test requirements and were considered as again ready for service without any extensive repairs beyond perhaps wiping off or painting the main casing or perhaps the replacement of a broken register box glass or a defective register box screw or perhaps even a new or repaired register; however, the meters were not disassembled so that the internal working parts could be examined, such as gear trains, chambers, discs, pistons, and so forth. Also, the only test performed was the one which indicated that the meters upon removal tested within the requirements.

Column (q) shows the number of meters that failed to pass the P.S.C. test requirement but it was possible to re-gear the meters to bring them within the requirements; also, that no extensive repairs were made. The only difference between the meters shown in Column (q) as compared with those shown in Column (p) is that it was necessary to re-gear and hence re-test those in Column (q).

Column (r) shows the number of meters, whether or not they passed or failed the P.S.C. test requirements, which were disassembled and completely examined or overhauled with the performance of any necessary repairs or replacement of major or minor parts. Such meters, of course, would be retested after being reassembled and would be calibrated to meet all P.S.C. requirements. Practice in certain companies dictate that all meters be disassembled and all parts examined, regardless of whether the meters passed or failed to pass the test when removed from service or when tested in service. The purpose of the report is to reflect the practice and results of the particular company making the report. The fact that columns are provided for reporting the manner of preparing meters for return to service according to the company's practice in no way indicates approval of such practice. The figures shown in Column (s) are not related to those shown in Column (o). Column (s) merely gives information as to the number of meters retired. These are in addition to the number returned to service. Columns (t) to (x) require similar data for Registration Limit meters. Meters retired which have reached neither the Time Limit nor the Registration Limit should be entered in Column (x) and be denoted by a double asterisk (\*\*). The total of the meters entered in Columns (s) and (x) should equal the total number of meters which, during the period, were retired on the company's books.



APPENDIX 9-A

**NOTE 3**  
Data presented in columns 1 through 10 are subject to the following:  
1. Data are only those which, with names, or dates, were obtained as they are reported in the source.

NAME	GENERAL INFORMATION		REGISTRATION INFORMATION		REGISTRATION INFORMATION		REGISTRATION INFORMATION		REGISTRATION INFORMATION	
	DATE OF BIRTH	DATE OF DEATH	DATE OF BIRTH	DATE OF DEATH	DATE OF BIRTH	DATE OF DEATH	DATE OF BIRTH	DATE OF DEATH	DATE OF BIRTH	DATE OF DEATH
...	...	...	...	...	...	...	...	...	...	...

Page 12 - Includes 21222 with 1014-1015  
Page 13 - Includes 21222 with 1014-1015

Appendix 9B

WATER-WORKS CORPORATION SERVICE INTERRUPTION REPORT

\_\_\_\_\_ Company \_\_\_\_\_

\_\_\_\_\_ Plant

Location where interruption occurred \_\_\_\_\_

Nature of interruption \_\_\_\_\_

Cause of interruption \_\_\_\_\_

Time of occurrence (day and hour) \_\_\_\_\_

Time service was restored (If service has not been restored at time of making report, so state; and follow with a supplemental notification of date and time of restoration of service.)

Extent of territory affected and brief outline of effect of interruption on quantity of water available and pressure.

To the Public Service Commission  
of the State of New York

I hereby certify that the above is a correct report.

\_\_\_\_\_

Date of Report

\_\_\_\_\_

Signature of Manager or Superintendent

## Appendix 13

American Concrete Institute (ACI)

P.O. Box 4754, Redford Station

Detroit, Michigan 45219

ACI 318, Building Code Requirements For Reinforced Concrete

ACI Title No. 67, Design and Construction of circular Prestressed Structures

American Gas Association (AGA)

1515 Wilson Boulevard

Arlington, Virginia

Purging Principles and Practice

American National Standard Institute (ANSI)

1430 Broadway

New York, New York 10018

ANSI C1, National Electrical Code

(Also NFPA No. 70)

American Petroleum Institute

1801 K Street, N.W.

Washington, D.C. 20006

RP 500A, Recommended Practice for Classification of Areas for Electrical Installations in Petroleum Refineries

RP 530, Recommended Practice for Calculation of Heater Tube Thickness in Petroleum Refineries

Std. 610, Centrifugal Pumps for General Refinery Services

Std. 611, General-Purpose Steam Turbines for Refinery Services

Std. 612, Special-Purpose Steam Turbines for Refinery Services

Std. 616, Combustion Gas Turbines for General Refinery

Std. 617, Centrifugal Compressors for General Refinery Services

Std. 618, Reciprocating Compressors for General Refinery Services

Std. 620, Recommended Rules for Design and Construction of Large, Welded, Low Pressure Storage Tanks

Std. 650, Welded Steel Tanks for Oil Storage Std. 661, Air-Cooled Heat Exchangers for General Refinery Services

American Society of Mechanical Engineers (ASME)

345 East 47th Street

New York, New York 10017

ASME Boiler and Pressure Vessel Code

ANSI B31.1.0, Power Piping Systems

ANSI B31.3, Petroleum Refinery Piping

ANSI B31.8, Gas Transmission and Distribution Piping Systems

National Association of Corrosion Engineers (NACE)

2400 West Loop South

Houston, Texas 77027

NACE Std. RP-01, Recommended Practice, Control of External Corrosion on Underground or Submerged Metallic Piping Systems

National Fire Protection Association (NFPA)

60 Batterymarch Street

Boston, Massachusetts 02110

NFPA No. 10, Installation of Portable Fire Extinguishers

NFPA No. 30, Flammable and Combustible Liquids Code

NFPA No. 50A, Standard for Gaseous Hydrogen Systems at Consumer Sites

NFPA No. 70, National Electrical Code

Tubular Exchanger Manufacturers Association (TEMA)

331 Madison Avenue

New York, New York 10017

TEMA Standards

## Appendix 15A

### SAMPLE QUESTIONS FOR DEPOSIT REQUESTS

An applicant for electric service shall be asked the following six questions:

1. Employer's name, address and telephone number and applicant's position.
2. Applicant's length of time with present employer. If applicant has less than two years with present employer, previous employment should be obtained or reason(s) for not being previously employed.
3. Whether the applicant owns or rents his place of residence. If renting, the length of occupancy of the premises should be determined.
4. Bank account(s) - types and where located.
5. Whether the applicant has credit cards, charges accounts, loans or other credit references.
6. Whether the applicant has sources of income other than from employment.

The following guidelines for determining what are positive and negative answers should be used:

1. If the applicant is employed, that is considered a positive answer. The applicant's position is of importance only to the extent that it helps identify the applicant during a credit check with the employer. Position should not be given any weight since it could result in discriminatory treatment of certain individuals who are forced to take low paying positions. Employment of a spouse, with whom the applicant is residing, would be considered equivalent to employment of the applicant.
  - 2a. If the applicant has been employed by the present employer for two years, that is considered a positive answer.
  - 2b. If the applicant has been employed by the present employer for less than two years, but has been employed by only one other employer during the past two years, that is considered a positive answer.
  - 2c. If the applicant has been employed by the present employer for less than two years and has no previous employment having recently graduated from high school or college or having recently been discharged from military duty, or having been recently widowed, separated or divorced, the response should be considered positive.
3. If the applicant owns his or her home, or has occupied the premises for two or more years, or has occupied the premises and the preceding residence for two or more years that should be considered a positive answer. [A utility may choose not to require a deposit of homeowners for that reason alone provided it applies that standard uniformly.]
4. If the applicant has had a bank account for more than one year, which is substantiated by the bank to be in good standing, that should be considered a positive answer.
5. If the applicant has credit cards, charge accounts, or has been extended credit by a bank, commercial concern or individual, it would be considered a positive response unless subsequent investigation proved the applicant unworthy of credit.
6. If the applicant indicates other sources of income such as stocks, real estate, welfare, pension, alimony, etc., this would be considered a positive answer.

## Appendix 15B

### SAMPLE QUESTIONS FOR DEPOSIT REQUESTS

An applicant for gas service shall be asked the following six questions:

1. Employer's name, address and telephone number and applicant's position.
2. Applicant's length of time with present employer. If applicant has less than two years with present employer, previous employment should be obtained or reason(s) for not being previously employed.
3. Whether the applicant owns or rents his place of residence. If renting, the length of occupancy of the premises should be determined.
4. Bank account(s)-types and where located.
5. Whether the applicant has credit cards, charge accounts, loans or other credit references.
6. Whether the applicant has sources of income other than from employment.

The following guidelines for determining what are positive and negative answers should be used:

1. If the applicant is employed, that is considered a positive answer. The applicant's position is of importance only to the extent that it helps identify the applicant during a credit check with the employer. Position should not be given any weight since it could result in discriminatory treatment of certain individuals who are forced to take low paying positions. Employment of a spouse, with whom the applicant is residing, would be considered equivalent to employment of the applicant.
  - 2a. If the applicant has been employed by the present employer for two years, that is considered a positive answer.
  - 2b. If the applicant has been employed by the present employer for less than two years, but has been employed by only one other employer during the past two years, that is considered a positive answer.
  - 2c. If the applicant has been employed by the present employer for less than two years and has no previous employment having recently graduated from high school or college or having recently been discharged from military duty, or having been recently widowed, separated or divorced, the response should be considered positive.
3. If the applicant owns his or her home, or has occupied the premises for two or more years, or has occupied the premises and the preceding residence for two or more years, that should be considered a positive answer. (A utility may choose not to require a deposit of homeowners for that reason alone provided it applies that standard uniformly.)
4. If the applicant has had a bank account for more than one year, which is substantiated by the bank to be in good standing, that should be considered a positive answer.
5. If the applicant has credit cards, charge accounts, or has been extended credit by a bank, commercial concern or individual, it would be considered a positive response unless subsequent investigation proved the applicant unworthy of credit.
6. If the applicant indicates other sources of income such as stocks, real estate, welfare, pension, alimony, etc., this would be considered a positive answer.

## Appendix 15C

### SAMPLE QUESTIONS FOR DEPOSIT REQUESTS

An applicant for telephone service shall be asked the following six questions:

1. Employer's name, address and telephone number and applicant's position.
2. Applicant's length of time with present employer. If applicant has less than two years with present employer, previous employment should be obtained or reason(s) for not being previously employed.
3. Whether the applicant owns or rents his place of residence. If renting, the length of occupancy of the premises should be determined.
4. Bank account(s)-types and where located.
5. Whether the applicant has credit cards, charge accounts, loans or other credit references.
6. Whether the applicant has sources of income other than from employment.

The following guidelines for determining what are positive and negative answers should be used:

1. If the applicant is employed, that is considered a positive answer. The applicant's position is of importance only to the extent that it helps identify the applicant during a credit check with the employer. Position should not be given any weight since it could result in discriminatory treatment of certain individuals who are forced to take low paying positions. Employment of a spouse, with whom the applicant is residing, would be considered equivalent to employment of the applicant.
  - 2a. If the applicant has been employed by the present employer for two years, that is considered a positive answer.
  - 2b. If the applicant has been employed by the present employer for less than two years, but has been employed by only one other employer during the past two years, that is considered a positive answer.
  - 2c. If the applicant has been employed by the present employer for less than two years and has no previous employment having recently graduated from high school or college or having recently been discharged from military duty, or having been recently widowed, separated or divorced, the response should be considered positive.
3. If the applicant owns his or her home, or has occupied the premises for two or more years, or has occupied the premises and the preceding residence for two or more years that should be considered a positive answer. A utility may choose not to require a deposit of homeowners for that reason alone provided it applies that standard uniformly.
4. If the applicant has had a bank account for more than one year, which is substantiated by the bank to be in good standing, that should be considered a positive answer.
5. If the applicant has credit cards, charge accounts, or has been extended credit by a bank, commercial concern or individual, it would be considered a positive response unless subsequent investigation proved the applicant unworthy of credit.
6. If the applicant indicates other sources of income such as stocks, real estate, welfare, pension, alimony, etc., this would be considered a positive answer.

APPENDIX 16

APPENDIX 16

(Refer to §§ 14-110, 275-12 and 434-11)

**PREPARE IN DUPLICATE**

**FORM DHS-238 (1/78)**

**UTILITY REFERRAL**  
Request for Action on Health Care  
from Utility Company to Local DSS

<b>STATE REFERROR</b> NAME OF COMPANY	<b>DETAILS OF SOCIAL SERVICES</b> TELEPHONE NUMBER	<b>LOCAL DSS</b> ACCOUNT NUMBER
<b>ADDRESS (Type or Print Name)</b>	<b>DATE OF REFERRAL</b>	<b>DATE OF RECEIPT (LOCAL REFERRAL TO DSS)</b>
<b>DATE OF REFERRAL</b>	<b>TYPE OF SERVICE</b>	<b>TYPE OF SERVICE</b>
<input type="checkbox"/> Home Care	<input type="checkbox"/> Day Care	<input type="checkbox"/> Day Care
<input type="checkbox"/> Home Health Care	<input type="checkbox"/> Family Home Care	<input type="checkbox"/> Family Home Care
<input type="checkbox"/> Homebound	<input type="checkbox"/> Other	<input type="checkbox"/> Other

Check as appropriate. For additional names for further information.

Age, Intensity or Annual Recertification

Life Support System

Academic Learning

Physical Disability

Other (Specify)

**FOR FURTHER DATA TO BE COMPLETED BY LOCAL DSS**

<b>LOCAL DSS OFFICE</b>	<b>LOCAL DSS OFFICE</b>	<b>DATE</b>
<b>LOCAL DSS OFFICE</b>	<b>LOCAL DSS OFFICE</b>	<b>DATE</b>
<b>UTILITY COMPANY</b>	<b>OFFICE ADDRESS</b>	

**INSTRUCTIONS**

- 1) Mail original to local DSS.
- 2) Keep second copy for your files.

## APPENDIX 17

### APPENDIX 17

**A. INFORMATION ON LIQUID ASSETS AND CURRENT INCOME.**

1. Liquid assets, such as cash, bank savings or checking accounts, etc. should be listed.

Cash on hand \$ \_\_\_\_\_  
 Bank checking account No. \_\_\_\_\_ Amt. presently in account \$ \_\_\_\_\_  
 Bank savings account No. \_\_\_\_\_ Amt. presently in account \$ \_\_\_\_\_  
 Name and address of bank \_\_\_\_\_

2. Income information.

Source of Income:	Work Yes	No	Amt. _____ (week)
	SSI Yes	No	Amt. _____ (month)
Public or state assistance:	Yes _____	No _____	Amt. _____ per week

3. EXPENSES MONTHLY PAYMENTS AMOUNTS OWING

Housing: Rent \_\_\_\_\_ Own \_\_\_\_\_  
 Food: Food Stamps: Yes \_\_\_\_\_ No \_\_\_\_\_  
 Medical expenses:  
 (incl. prescrip. drugs)  
 Utility: (gas and electric)  
 Heating: (if not gas or electric)  
 Telephone:  
 Insurance payments: (credit cards)  
 Transportation:  
 Car expense: (loan, gas, etc.)  
 Education:  
 Other: \_\_\_\_\_

I, the undersigned, do hereby certify that the above information provided is true, truth to the best of my knowledge.

\_\_\_\_\_  
 (signature)

\_\_\_\_\_  
 (date)