



## Application to Obtain or Amend a Water/Sewer Certificate of Convenience and Necessity (CCN)

### Instructions and Checklist

**Each question on the application must be answered completely. If additional space is needed, attach additional sheets clearly labeled with the applicant's name and Docket Number if available. If a question is not applicable, please mark it N.A. and briefly explain why the question does not apply. DO NOT LEAVE ANY QUESTIONS BLANK.**

**7 copies of the application package, including the original, must be filed with the commission's filing clerk, per [§22.71\(c\)\(9\)](#) of the Commission's procedural rules.**

**The application package is composed of each of the following items:**

- Completed application form, including any attachments
- Completed Oath
- Maps: Attach the following hard copy maps with each copy of the application:
  - A location map delineating the proposed service area with enough detail to locate the proposed area within the applicable county or counties.
  - A map showing only the proposed area by:
    - Metes and bounds survey certified by a licensed state or registered professional land surveyor;
    - Projectable digital data with metadata (proposed areas should be in a single record and clearly labeled);
    - Following verifiable natural and man-made landmarks; or
    - A copy of a recorded plat map with metes and bounds.
  - A written description of the proposed service area.
  - In addition to the maps provided in accordance with the description listed above, please file separate and additional maps of the requested area to show the following:
    - for existing facilities, provide a map showing all facilities, illustrating separately facilities for production, transmission, and distribution of the applicant's service(s); and
    - request for service and any customers or area currently being served by the applicant outside the applicant's certificated area(s).
- ❖ **Failure to provide adequate mapping information may result in the delay or possible denial of your application. For information on obtaining a CCN base map or questions about sending digital map data, please visit the Water Utilities section of the PUC website for assistance. Digital data submitted in a format other than ArcView shape file or Arc/Info E00 file may result in the delay or inability to review applicant's mapping information.**
- The following proposed notices:
  - Notice for publication;
  - Individual notice to landowners with a copy of the proposed CCN map;
  - Individual notice to cities and neighboring systems with a copy of the proposed CCN map; and
  - Notice to current customers, if applicable.
- ❖ **Do not publish or send these proposed notices or maps to landowners, cities, neighboring utilities, or customers until notified to do so in writing by Commission staff after the proposed notices have been reviewed.**
- Current tariff.

- If the applicant is already operating as a utility, the tariff must reflect the applicant's current rates.
- Every investor-owned utility or water supply corporation is required to have a current tariff on file with the Public Utility Commission of Texas (Commission).
- Cities and political subdivisions must provide copies of current rates, service rules, and extension policies.

For **NEW** water or sewer systems **OR** utilities requesting a CCN for the first time:

- Plan approval letter or engineering report.
- For new non-profit, water supply or sewer service corporations organized under Chapter 67 of the Texas Water Code, a copy of the by-laws and articles of incorporation must be attached.
- All required approvals from cities, counties, or state agencies for new or improved facility plans associated with the proposed service area.
- Copies of requests seeking service from all water or sewer utilities within 2 miles and their written responses or documentation that they failed to respond.
- Either:
  - a statement that service is not available from systems within 2 miles of the proposed service area; or
  - an explanation explaining why it is not economically feasible to obtain the offered service.
- Five (5) year projected financial plan for new systems (worksheet provided).
  - ❖ **An existing system may be required to provide this item during the technical review phase if necessary for staff to completely evaluate the application.**
- A list of all utilities within five miles of the requested area.

For **EXISTING** water or sewer systems:

- The most recent inspection report letter for water and sewer systems and the applicant's response.
- All required approvals from cities, counties, or state agencies for new or improved facility plans associated with the proposed service area.
- Copies of water or sewer treatment capacity purchase agreement or contract for the system for which the CCN is being requested (if receiving wholesale water or sewer).
- Historical profit and loss statement and balance sheet as of the end of the last fiscal year (for existing systems; worksheets are provided if you do not already have your own).
- Utility agreement for decertification and/or dual certification for an area, if applicable and available.
- Articles of Incorporation and current By-Laws for a Texas Water Code Chapter 67 water supply or sewer service corporation, if applicable.
- Current State Comptroller's "Certification of Account Status" for a for-profit corporation, if applicable.

This certification can be obtained at the:

“Texas Secretary of State” website.

**or**

Comptroller of Public Accounts, Office Management

P.O. Box 13528

Austin, Texas 78711-3528

1-800-252-5555

- City consent or franchise if the applicant operates within the limits of an incorporated city, if applicable.
- Partnership agreement, if applicable.
- A list of all utilities within two miles of the requested area.

For **ALL** water or sewer systems:

- No required filing fee.
- A list of persons requesting service in the requested area including name, address, and phone number.

**7 copies of the completed application package, including the original should be sent to:**

Filing Clerk  
Public Utility Commission of Texas  
1701 North Congress Avenue  
P.O. Box 13326  
Austin, Texas 78711-3326