

**Rosebrook Water Company**  
**Public Utility Regulatory Compliance Training**  
**January 2014**

**I. Introduction**

- A. NHPUC Overview, Authority and Jurisdiction – RSA 363 *et seq.*
- B. Overview of Open NHPUC Orders

**II. General Compliance Requirements**

- A. Water Service Requirements – Puc 600; Puc 1200
  - 1. Metering/Billing
  - 2. Water Quality/Equipment/Facilities
  - 3. Recordkeeping and Reporting
    - a) Records to be kept
    - b) Preservation of records
  - 4. Safety
  - 5. Short Term Debt
  - 6. Reports to Commission
- B. Denial and Discontinuance of Service – RSA 363-B; Puc 1200
  - a) Late Payments
  - b) Termination/Disconnection
    - (1) Medical Emergency Rules
- C. Rates and Charges – RSA 378; Puc 1600
  - 1. General Tariff Requirements
  - 2. Service or Tariff Change
  - 3. Special Contracts

- D. Affiliate Contracts RSA 366; Puc 2100
  - 1. What is an Affiliate?
  - 2. Nondiscrimination
  - 3. Disclosure
  - 4. Separation
  - 5. Required Filings/Certifications
- E. Procedural Practice – Puc 200
  - 1. Requests for Confidential Treatment of Documents
  - 2. Requests for Determination/Approvals
  - 3. Filings – Form and Contents
  - 4. Determination of Time

### **III. Additional Resources**

- A. NHPUC Water and Sewer:  
<http://www.puc.nh.gov/Water-Sewer/water-sewer.htm>
- B. NHPUC Rules: <http://www.puc.nh.gov/Regulatory/rules.htm>
- C. NHDES Small Public Water Supply Help Center:  
<http://des.nh.gov/organization/divisions/water/dwgb/capacity/index.htm>
- D. NHDES Handbook for Small Water Operators in New Hampshire:  
[http://des.nh.gov/organization/divisions/water/dwgb/capacity/documents/handbook\\_for\\_pws\\_owners.pdf](http://des.nh.gov/organization/divisions/water/dwgb/capacity/documents/handbook_for_pws_owners.pdf)
- E. New Hampshire Water Works Association: [www.nhwwa.org](http://www.nhwwa.org)
- F. US EPA Asset Management: A Handbook for Small Water Systems  
[http://water.epa.gov/type/drink/pws/smallsystems/upload/guide\\_smallsystems\\_asset\\_mgmnt.pdf](http://water.epa.gov/type/drink/pws/smallsystems/upload/guide_smallsystems_asset_mgmnt.pdf)

# ROSEBROOK WATER COMPANY

## COMPLIANCE CHECKLIST

(Updated 12/30/13)

### Category Legend:

PUC = Public Utilities Commission  
 RPTS = Reporting requirement  
 OPS = Operational responsibility

### EE Responsibility Legend:

OM = Operations Manager & Compliance Officer  
 FM = Finance Manager

Item	Category	Description	EE Responsible	Date Due
1	PUC	Adherence to PUC approved tariff; Each meter size in use should be reflected in approved tariff and billed accordingly	OM & FM	On-going
2	PUC	Test and Calibrate Meters in accordance with requirements set forth in Table 6.5.2 Testing Interval Required by Size of Meters. See PUC 605-04	OM	On-going
3	PUC	Maintain books and records in accordance with PUC Uniform System of Accounts	FM	Monthly review
4	PUC	Maintain Continuing Property Records –review of fixed assets activity and update records.	FM	Monthly Review
5	PUC	Review of contractual obligations and expenditures for continued compliance regarding affiliate agreements; Submit affiliate agreements to PUC for approval prior to authorizing/executing.	FM	Prior to Occurrence
6	PUC	Conduct staff annual compliance training.	OM & FM	January

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7	RPTS	Submit quarterly production v. consumption information to Mr. Naylor	FM	Quarterly
8	RPTS	Monthly measure of the amount of water produced at each of its wells. The company will report production in the PUC annual Report, schedule S-2	OM	Month End
9	RPTS	File Quarterly financial statements with Commission	FM	20 <sup>th</sup> day after Qtr end
10	RPTS	File petition with PUC prior to request authority to issue securities	FM	Prior to Occurrence
11	RPTS	File PUC Annual Report – includes information sheet, report of water meter test, inspection of hydrants and proposed expenditure, extensions and capital improvements	FM	Annually by March 31
12	OPS	Inspect system to identify if any water is being provided that is not accounted via metering. Visually inspect to ensure no instances of non-metered sales or installation of meter by-passes.	OM	On-going
13	OPS	Inspect company vehicle for valid inspection and registration	OM	On-going

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14	OPS	Keep an on-going log that includes operational notes for pump station equipment and pumping equipment, including warranty information, service records, and equipment specifications.	OM	On-going
15	OPS	Update customer meter listing including both residential and commercial customers reflecting meter size and ensure billings reflect the same	FM	Quarterly
16	OPS	Inspect to ensure no meter by-passes have been installed by customers to system.	OM	Quarterly
17	OPS	Conduct Quarterly Compliance Meetings to review the above checklist, its adherence and compile meeting minutes to be kept with the records of the company.	OM & FM	Quarterly




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## OBJECTIVE

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To obtain a position that utilizes my financial skills in a team/goal oriented environment.

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## qualifications

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- Directly involved with management and engineers working on projects that are in multiple phases and involve financial reporting on the local, state and federal level.
  - Possess 15 years of practical experience in the finance field managing all aspect of private companies from Construction to Retail type businesses.
  - Proficient in organizing, setting policies and procedures that adequately support the growth and stability of a working organization.
  - A strong team player when it comes to contributing to operational goals and personnel relations.
  - Strengths include general ledger, financial statements, A/P, A/R, financial analysis, budgeting, cash management, payroll, and internal and external reporting.
  - Knowledge of various accounting software programs and Microsoft Word and Excel.
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## education, professional registration

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- Notary Public – Commission expires May 1, 2018
- Basic Municipal Accounting – Local Government Center Academy
- Finance Reporting and Accountability – Local Government Center Academy
- Budget and Finance Workshop- Local Government Center
- Kennett High School - Graduate

Working towards Associates Degree in Accounting- White Mountain Community Collage

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## PROFESSIONAL EXPERIENCE

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Dec 2011-Oct 2013

### Finance Director/Municipal Bookkeeper

*Conway Village Fire District, Conway NH*

- Manage financial and accounting functions for the District's Water, Sewer, Fire and Ambulance Departments.
- Accountability extends to financial statements, cash flow analysis, budgeting, payroll, account reconciliation of 9 funds and bank reconciliation of 16 checking accounts.
- Work directly with the Superintendent, Fire Chief, Project Managers, Engineers and Auditors. Report directly to the Board of Commission.
- Assist Water and Sewer customers with their Utility bills.
- Create and process the Annual Report, file all necessary notices and general set up for the March Annual meeting.
- Selected Contributions:
  - Restructured and organized the entire chart of accounts, budget reports and payroll using Business Management Software Inc. (BMSI) municipal based software.
  - Established internal control from previous accountant eliminating the

- monthly expense and bringing Payroll 941 and W2 reporting back in house.
- Directed the reorganization of Utility Billing, A/R and A/P policies and procedures establishing consistency in order to save time and cost.
- Established a budgeting system using BMSI software to improve expense tracking.
- Provide IT support for the District for the new server and workstations.

### **Office Manager**

*Tee Enterprises, Conway NH*

*Jan 2008- Dec 2011*

- Receptionist for all Tee Enterprise Customers and TP Storage Customers.
- Assistant the Plant manager with the day to day operations of the manufacturing machine shop.
- Processed billing for manufacturing customers and storage customers.
- Responsible for processing all purchase orders for the Plant Manager.

### **Office Manager**

*Profile Powersports, Albany NH*

*Dec 1999-Jan 2008*

- Managed financial and accounting functions for a multi-franchised Powersports dealership. Accountability extends to financial statements, cash flow analysis, payroll, account reconciliation, inventory, accounts receivable and payable.
- Work directly with the General Manager, Parts Manager, Service Manager, Sales Manager and F/I Director with the day to day operations of the dealership.
- Selected Contributions:
  - Set up the chart of accounts in ADP Lightspeed, and responsible for all aspects of the information the Software transferred from the "Shop Floor" module to the "Accounting" module. Provided IT support for the entire network.
  - Customer Service support whenever needed in all departments of the dealership including promotional events on and off site.

### **VOLUNTEER WORK**

*Loki Clan Wolf Refuge, Inc , Chatham, NH  
1989-2011*

*A non-profit organization dedicated in providing a safe haven for wolf and wolf-dogs.*

- *Volunteer – Socialization of animals, marketing and education.*
- *Treasurer – Responsible for all financial aspects of the organization.*