

Strategic Business Plan 2021-2023



Washington State Utilities and
Transportation Commission



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About the UTC

The Utilities and Transportation Commission protects the people of Washington by ensuring investor-owned utility and transportation services are safe, available, reliable, and fairly priced.

The commission balances the interests of service providers with the interests of Washington consumers, who pay in excess of \$6.5 billion annually for these vital services. This is a role the commission has performed since 1905, and one that has required considerable adaptation over time.

The commission regulates a wide range of services provided by investor-owned companies, including: electricity and natural gas, community solar projects, landline telecommunications, solid waste collection, water systems, natural gas and hazardous liquid pipelines, railroad carriers, residential movers, commercial ferries, passenger buses, low-level nuclear waste storage, and marine pilotage.

The type and purpose of regulation for each industry varies, as does the commission's authority and jurisdiction. Generally, the commission regulates rates, service quality, consumer protection, and safety measures. New market conditions, technology advances, federal and state laws, and evolving consumer expectations make for a dynamic policy landscape.

The commission's anticipated budget for the 2021-23 biennium is \$67 million. The agency has 183 full-time equivalent positions. Operations are supported through fees paid by regulated companies. Federal grants fund some activities affecting pipeline, rail, and motor carrier safety.

The regulatory environment continues to be one of constant and often unpredictable change, which requires responsiveness, thoughtfulness, and adaptability. Over time, the commission has developed a strong core of institutional knowledge that contributes to a sense of stability and continuity in operations.

As discussed below, the coronavirus pandemic has forced the commission to reexamine our business processes. However, it does not affect our commitment to our mission, vision, or values. In this Strategic Business Plan we reaffirm our commitment to providing excellent service to the public.



UTC executive director and commissioners at ribbon cutting for new building in June 2019.



www.utc.wa.gov

Mission, Vision, and Values

Mission

The Washington Utilities and Transportation Commission protects the people of Washington by ensuring investor-owned utility and transportation services are safe, available, reliable, and fairly priced.

Vision

The UTC is recognized for its excellence and integrity as a regulator of utility and transportation services and as a great place to work.

Values

Respect

We treat every person and interaction with consideration and goodwill.

Integrity

We do the right things for the right reasons, trusting others to do the same.

Professionalism

We are committed to excellence in our work and conduct.

Accountability

With courage, we hold ourselves and each other accountable for exhibiting these values.





2019-2021 Goal Review

Enhance protection of vital underground utilities

In 2019, we facilitated a stakeholder workshop which resulted in strengthened language in Washington’s Dig Law. The Governor signed these changes into law in March 2020. Changes include the requirement to contact 911 in the event of damage to an underground utility, which was not explicit in the previous version of the law.

Goal 1: Protect Consumers

Ensure consumers are protected as utilities implement advanced meter technology

Finalized advanced meter rules in July 2020, focusing on customer protections and data privacy, while preserving customers’ ability to opt-out of “smart meter” adoption.

Goal 2: Advance Public Safety

Improve railroad safety and increase public awareness

Worked with road authority, railroads, and the Washington State Department of Transportation on applications for 2020 Section 130 funding to address long-term improvements for at-risk crossings on oil routes.

Using \$40,000 in grant funding received from Operation Lifesaver, we purchased targeted, location-based digital TV, mobile, social media, and web advertising around railroad crossings with the highest collision rates and incidents of trespass.



2019-2021 Goal Review Continued

Goal 3: Adapt Regulation to Changing Markets

Address technological and infrastructure changes in regulated industries

The UTC initiated numerous, complex rulemakings required by the 2019 Clean Energy Transformation Act (CETA) which are focused on promoting the use of clean energy technologies in order to achieve a zero-carbon electricity market in Washington by 2045.

Address recycling challenges

The UTC responded to the impact of changes in the global recycling market through two efforts. The first effort gave solid waste companies flexibility in responding to changes in the recycling market by allowing more frequent adjustments of credits provided to customers. The second effort informed Washington counties that their recycling plans should eliminate collection of commodities that no longer have market value.

Support rural and low-income access to affordable communications services

The UTC completed a rulemaking that modified existing rules regarding the annual review of Washington Universal Service Fund requests. Adopted changes shifted the fund's focus from supporting rural voice service to supporting rural broadband service.

Streamline small business regulation

The UTC actively assisted small, privately owned water companies in their efforts to update rates and service charges to adequately support reliable operations over the long term.

Goal 4: Improve Business Performance

Cultivate the employee experience

Facilitated the transition for employees to telework due to the COVID-19 pandemic. Provided resources related to employee resilience and flexible work arrangements, recognizing the unique and individual needs of each UTC employee.

In June 2019, the UTC moved into its new, modern, and energy efficient headquarters in Lacey. This was part of a years-long process to provide a better working environment for employees.



Entry to UTC headquarters in Lacey.



2021-2023

Goal 1: Protect Consumers

Governor's Priority: Healthy and Safe Communities

To protect consumers, the commission ensures the services of regulated companies are safe, available, reliable, and fairly priced. As technology changes the way consumers interact with regulated companies, it's important that the commission adapts rules for efficiency, security, and to reduce regulatory burden, all while ensuring consumer protections remain in place.

Evaluate and address impacts from the COVID-19 pandemic on Washington consumers

Help consumers who are struggling financially by evaluating, supporting, and promoting available assistance programs, and focusing outreach and education efforts on impacted populations.

Evaluate how regulated companies can provide more efficient and equitable service to customers impacted by the public health crisis.



Develop robust online learning system for regulated industries

Improve company compliance with consumer protection and safety regulations by providing online training, resources, and certification programs for regulated companies.

Evaluate and update training materials to meet accessibility requirements and provide language translation for key resources so customers and companies have access to regulatory information.

Modernize customer notice rules

Review and update rules related to customer notice requirements to ensure regulated companies provide timely and clear notice of rate or service changes to their customers.





2021-2023

Goal 2: Advance Public Safety

Governor's Priority: Healthy and Safe Communities

The UTC regulates railroad safety by investigating train derailments and other incidents, inspecting railroad crossings, approving safety projects, and promoting outreach and education. The UTC partners with the Federal Railroad Administration to inspect track, hazardous materials, signal and train control, operating practices, motive power, and equipment.

The UTC's motor carrier safety program prevents accidents through safety fitness evaluations and vehicle inspections of privately owned transportation companies including intrastate residential household goods movers, solid waste collection companies, charter buses, railroad crew transportation companies, and transportation for persons with special needs.

The UTC regulates 31 pipeline operators and conducts safety inspections on more than 41,000 miles of natural gas and hazardous-liquid pipelines in Washington. The UTC also enforces the state's "Dig Law" and provides information on underground utility safety to stakeholders and the public.

Serve as a resource for ride share industry regulation policy proposal

Evaluate the impacts of proposed statewide ride share regulations on the UTC, identifying appropriate levels of regulation including safety, permitting, and consumer protection.

Continue to engage with local governments and state agencies, including the Department of Licensing, Washington State Patrol, and the Joint Transportation Committee to provide information and perspectives on statewide regulations for ride share companies.

Increase regulatory consistency between the UTC and Washington State Patrol

By September 2021, prepare and share a report with the Washington State Patrol (WSP) that identifies UTC motor carrier safety regulations that are inconsistent or in conflict with WSP's commercial vehicle safety division.

Work with the WSP and Federal Motor Carrier Safety Administration (FMCSA) to align rules and apply them equally to all transportation companies, the rulemaking process will be initiated in January 2023 if needed.

Protect underground utilities

Engage with stakeholders to develop additional improvements to [RCW 19.122](#) (underground utilities) as identified by the 2019 Dig Law workgroup.

Evaluate potential impacts of the COVID-19 pandemic on the protection of vital underground utilities. Develop and implement adjustments as needed.

Implement innovative strategies in rail safety education

Leverage the Operation Lifesaver program to expand rail safety outreach. Seek grants to fund continued initiatives such as geo-targeted advertising along with targeted television and web advertising services in high-risk areas.

Partner with cities, counties, railroads, and state parks to address trespass areas creatively and effectively.

Improve safety along oil train routes at under-protected railroad crossings

Continue implementation of safety upgrades at the four remaining at-risk crossings along oil routes as identified by the UTC during the 2014 Marine and Rail Oil Transportation Study.



UTC pipeline safety inspector.



2021-2023

Goal 3: Adapt Regulation to Evolving Conditions

Governor’s Priority: Supporting a Prosperous Economy; Sustainable Energy and a Clean Environment; Effective, Efficient, and Accountable Government

As industries in Washington face technological and market advances as well as changing customer expectations, the commission will continue to adapt its regulatory models to industries’ evolving regulatory needs.

Improve efficiency by streamlining regulatory requirements and reporting

Examine industry segments where competitive alternatives exist outside UTC regulation to determine if the market competition is adequate to reduce or eliminate the commission’s economic regulatory authority.

Eliminate utility reporting requirements that are no longer necessary or useful.

Develop a plan to modernize the regulatory model to incorporate emerging technologies that provide cost-saving benefits to the agency, stakeholders, regulated industries, and Washington’s ratepayers.

Implement Washington’s transition to clean energy while maximizing regulatory efficiencies

Examine resource adequacy planning practices and programs to ensure the state’s transition to clean energy meets the requirements of the Clean Energy Transformation Act (CETA) while supporting reliable and affordable energy.

Complete all rulemakings required to implement the state’s transition to clean energy. These include updates to the Integrated Resource Planning rules, Energy Independence Act rules, Purchase of Electricity rules, creation of new rules for Clean Energy Implementation Plans, and development of rules related to carbon and electricity markets.

Explore opportunities to streamline CETA required filings with rate recovery proceedings through multi-year rate plans and performance-based ratemaking.

Expand development of rural broadband services

Approve funding used to support rural broadband deployment per applicable federal and state statutes.

Collaborate with public and private organizations to develop rules and procedures for expanding the deployment of broadband in rural areas of Washington.



2021-2023

Goal 4: Improve Business Performance

Governor’s Priority: Effective, Efficient, and Accountable Government

The commission has built a community focused on improving customer service and operational efficiency for our employees, consumers, and regulated companies.

Ensure the long-term financial health of the commission

Develop a plan for adjusting regulatory fees in preparation for the 2023 legislative session to address the disparity between flat regulatory fee revenue and consistently escalating cost drivers. Revenue to the public service revolving account is insufficient to fund the commission’s current workload.

Continue to monitor and evaluate the commission’s financial health, exploring and implementing opportunities for short and long-term cost savings and efficiencies.

Cultivate the employee experience

Foster a work environment that represents the UTC’s values and promotes collaboration, open communication, and personal growth and development.

Continue active support of diversity, equity, and inclusion efforts among staff, leadership, stakeholders, and the public.

Improve employee recognition across the commission. Explore the research work of employee recognition covered in *The Leadership Challenge* by Kouzes and Posner.

Develop and deploy an agencywide strategy to use the principles of *The Outward Mindset* by the Arbinger Institute at the commission.

Streamline the commission’s performance management system

Continue the commission’s *Management System 2 (MS2)* initiative to develop performance indicators to support work processes and activities. Review and consider implementation of recommendations about key performance indicators in the 2020 Evans School report.

Enhance online access to commission services for the public and UTC staff

Evaluate current technology solutions and explore options to meet the needs of our current workforce and the public. Focus on technology to support employee telework, commission open and public meetings, and a move to more digital and cloud-based solutions.

Explore technology to reduce reliance on virtual private network (VPN) connections, increase remote workforce capabilities, and help reduce overhead cost of infrastructure maintenance.

Upgrade to the latest technology to enhance cybersecurity, and protect the agency's and our customers' data.

Leverage *One Washington* to best support the UTC's current and future business needs

Follow *One Washington* timeline established by the steering committee.

Modernize UTC business processes and technology solutions that interface with the enterprise resource planning solution (ERP).

Dedicate sufficient resources to the UTC's *One Washington* effort, and coordinate across all commission programs.



UTC managers posing for a photo after signing the 2020 UTC Leadership Agreement in March 2020.

External Capacity

Commission-regulated industries face significant new demands due to evolving technologies, emerging markets such as transportation network companies, increased rail traffic, and changing customer expectations. As a result, companies regularly present new and complex issues for the commission to address.

Utility Regulation

- The Clean Energy Transformation Act (CETA) was passed in 2019, and requires the state's electric utilities to fully transition to clean, renewable, and non-emitting resources by 2045. The UTC is charged with overseeing CETA compliance of investor-owned utilities.
- The commission is addressing issues related to carbon reduction regulations, the reliability of the state's electricity supply, and the evolving regional energy market. Through 2021, the commission is conducting large, complex rulemakings in order to comply with CETA. Through these rulemakings, the commission is actively establishing rules that promote clean energy, advanced grid technology, the demand for electric vehicle charging infrastructure, as well as incorporating concerns for social equity in the development and execution of utility services.
- The commission continues to engage in discussions surrounding the regionalization of the Western state electric grid. The commission actively participates in the Body of State Regulators, which acts as a forum for commissioners throughout the Western U.S. to provide advice and perspectives on the Western Energy Imbalance Market, a voluntary, automated, real-time market for balancing electricity supply and demand for utility service territories.
- The region's utilities are responding to the changing needs for renewable energy and natural gas resources in light of CETA and the required closure of coal-fired generating capacity. The commission is actively involved in discussions regarding the closure of coal-fired generating resources, the procurement of renewable energy capabilities, and the needs to ensure the reliable generation, transmission, and distribution of electricity while maintaining rates that are fair and affordable.



Transportation Regulation

- The 2018 Washington State Legislature directed the UTC to convene a task force and provide recommendations by December 2018 regarding the most effective method of regulating digital application-based “micro-movers.” The UTC supported the work of the task force by providing detailed analysis, facilitating meetings and discussions, and conducting extensive research related to household goods carriers, digital app-based companies, and existing regulatory frameworks for similar industries. The task force concluded that the UTC should continue enforcing existing household goods and solid waste laws related to safety, insurance requirements, and consumer protection, while working with the industry to ensure there are no artificial barriers to entry in the UTC’s existing regulatory process. The UTC believes that the current regulatory framework is adequate to ensure consumer protection and safety for household goods movers, whether they use new technology such as a digital application to reach customers, or rely on more traditional modes of advertising.
- The commission assisted the Legislature’s Joint Transportation Committee (JTC) in its examination of ride-share companies, also known as transportation network companies (TNC), such as Uber and Lyft. The UTC provided a background of the existing state and local regulations for transportation network companies. The JTC produced a report analyzing these regulations to improve consistency and competitive fairness while providing effective safety regulations. The JTC also created a TNC Policy Guide which provides a comprehensive overview, inventory, and understanding of existing TNC regulations to educate policy makers in Washington.
- In 2018, the Legislature transferred marine pilotage rate-setting authority from the Board of Pilotage and the Port of Grays Harbor district to the UTC, effective July 1, 2019. Since the transfer of rate-setting authority to the UTC, the UTC has established and adopted rules that support the rate-setting process; moreover, the UTC is currently involved in the first rate case filed to establish rates under the UTC’s rate setting authority. The current case should be concluded during the fourth quarter of 2020.

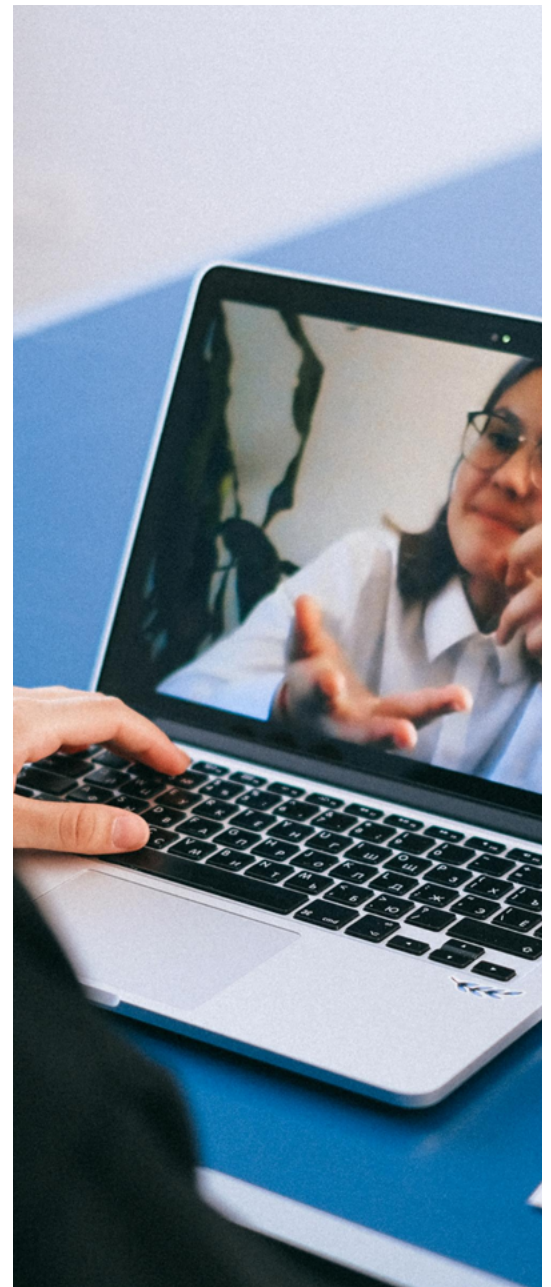


Internal Capacity

The commission's workload is increasingly complex and diverse, with frequent rate cases, conservation and renewable energy legal requirements, increased transportation safety issues, technological changes, and environmental mandates. We must attract and retain talented employees for careers in economics, finance, law, engineering, consumer protection, administration, safety, and public policy while competing with the private sector and municipal utilities, where salaries are historically higher than those offered by state government.

Adapting to new realities

- The COVID-19 pandemic has significantly changed the way we do business. While forced into a mobile environment, this change has propelled us forward into optimizing telecommute options for our staff. To remain competitive, we will have to adapt our processes and technological infrastructure so employees can do their work well from anywhere. We must also continue to find new ways to adapt our processes so that equitable access to our proceedings is maintained for all.
- Our internal capacity is also affected by the financial impacts of the pandemic, the long-term effects of which are still unknown. As we plan for the commission's financial future, we will have to remain flexible to meet our regulatory responsibilities while facing budget impacts and limitations.
- Many of our difficult to fill positions require industry-specific skillsets, which often leads us to hire out of state. We anticipate that travel restrictions and health measures may change the way we recruit and fill these positions.
- The UTC is committed to being the employer of a highly qualified, diverse, and dedicated workforce. In 2019, the employees of the UTC, with the support of agency leadership, formed a Diversity, Equity, and Inclusion (DEI) Committee. This provides the commission an opportunity to identify and promote DEI concepts as a source of individual and organizational effectiveness. The committee will provide recommendations and strategies to improve communication, compliance, and training in areas of DEI. Commitment to this work will require being open to new ways of thinking about employee motivation and staff development.



- The commission is charged with implementing Washington’s energy future through our work on the Clean Energy Transformation Act (CETA). The implementation of CETA, including developing measures to ensure equity, have significantly increased our staff’s workload and will continue to take up most of our energy staff’s internal capacity for the next biennium and beyond.



Cherry blossoms blooming outside the new UTC building in Lacey. Photo courtesy of UTC staff member Mat Perkinson.

Financial Health

The commission is supported by fees paid by regulated companies. The regulatory fees for almost all industries are set in statute, generally calculated as a percentage of a company's intrastate revenues from operations. The commission receives payment for most regulatory fees in May of each year. In addition to regulatory fees, the agency receives federal grant money from the U.S. Department of Transportation for pipeline safety and motor carrier safety programs. This funding is conditional on the commission meeting program standards.

Building Financial Sustainability

- Since 2010, revenue from regulatory fees has leveled off. This is due to slower load growth for electric utilities because of the success of conservation and energy-efficiency programs and the continued migration of landline telecommunications customers to cellular and cable-based services. Over the same period, the cost to maintain the current level of regulatory, public safety, and consumer protection services has increased. The workload in some programs, including energy regulation and rail safety, has increased significantly, and the commission has taken steps to adjust resources.
- In early 2020, the commission contracted with the University of Washington's Evans School of Government for a team of MPA students to conduct an in-depth analysis of the commission's finances. The final report contains specific findings and recommendations for the commission to consider in its strategic planning.
- The commission will develop a plan for increasing regulatory fees in preparation for the 2023 legislative session to address the disparity between flat regulatory fee revenue and consistently escalating cost drivers. Revenue to the public service revolving account is insufficient to fund the commission's work, and the fund is projected to be depleted by June 2023.
- The commission will continue to evaluate and monitor opportunities for cost savings, using a financial model to better track budget variances and ensure the financial health of the organization.
- Washington's core financial system is more than 30 years old and long due for an overhaul. *One Washington* is a comprehensive business transformation program to modernize and improve aging administrative systems and related business processes across state government. Four key business areas are affected: financial, procurement, budget, and Human Resources. The initial rollout for the implementation of finance and procurement systems is scheduled for July 2022. The commission has established an internal team to engage with the *One Washington* team at the Office of Financial Management as we begin the multi-year transition.



UTC staff being interviewed for Public Utilities Fortnightly feature in February 2020. Page 16

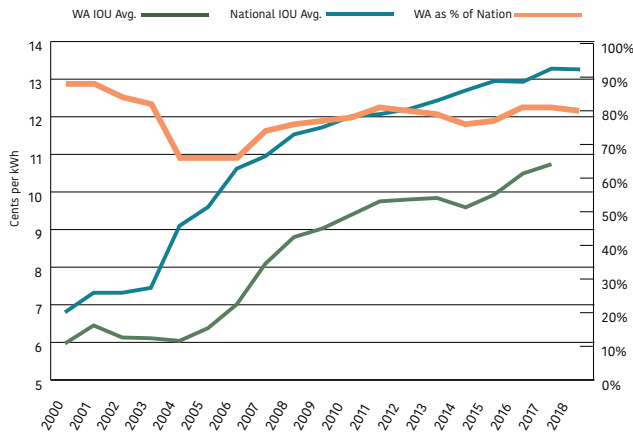
Performance Assessment

The commission uses a variety of measures to gauge its performance and inform operational and strategic decision-making.

Energy Rate Comparison

Washington Investor Owned Utility Residential Rates vs. National Average

Source: Edison Electric Institute



Note: EEI has not updated its rate comparison as of this publication, so 2019 values are not available.

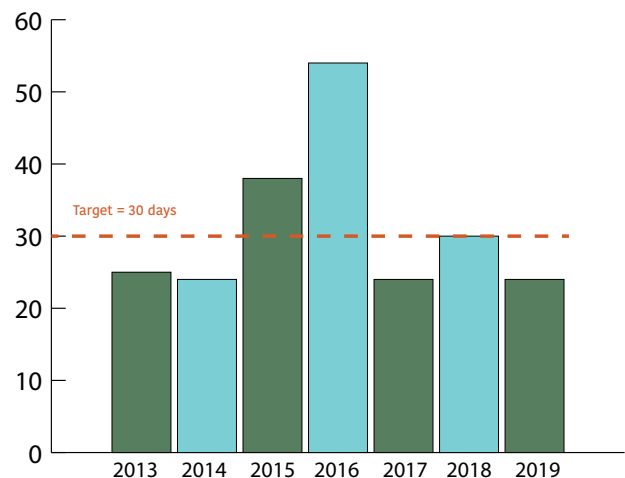
Energy cost drivers in Washington are significantly related to infrastructure investments to replace aging generation facilities. While the commission exerts substantial authority over prices charged to customers, rate levels are influenced by many variables that are outside the UTC's control. These include the state of the economy, population changes, and weather, all of which influence load growth, investments, and expenses.

Closing Consumer Complaints

The average number of days to resolve consumer complaints received by the commission's Consumer Protection team is an indication of how much time it takes the commission to address consumers' concerns.

After the 2016 replacement of the failing legacy complaint database and the return to full staffing levels on the complaint team, complaints are closing, on average, under the 30-day target.

Average Days to Close Consumer Complaints



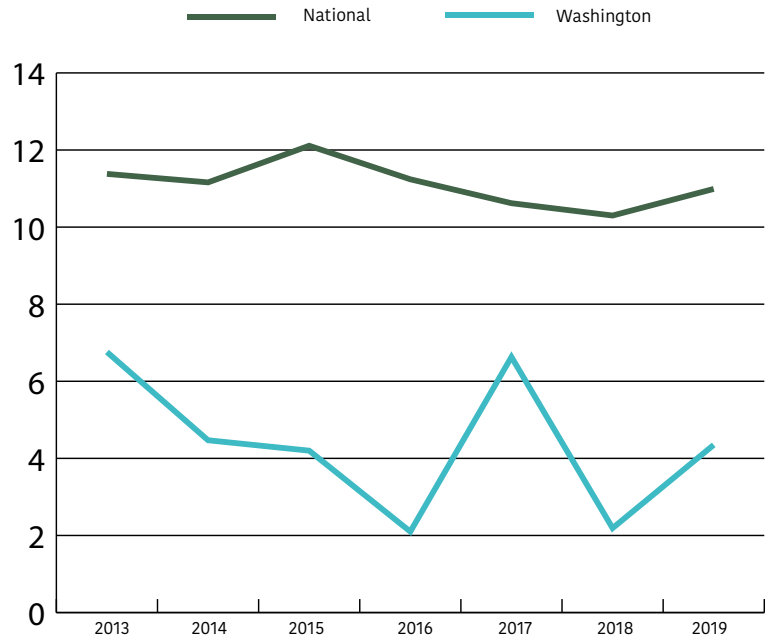
Pipeline Safety

The UTC's Pipeline Safety Division routinely analyzes state and national incident data and investigation reports to identify trends and causal factors. This analysis drives focused inspection planning and informs technical assistance to pipeline operators on emerging incident trends.

Significant pipeline incidents are those involving death, hospitalization, explosions or fire, release of volatile liquid, or costly property damage.

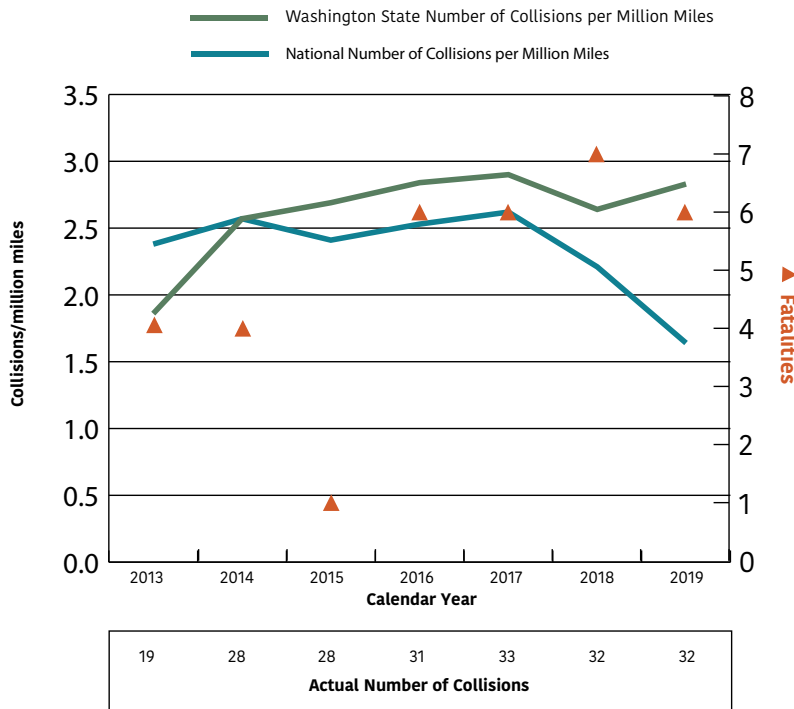
Washington's significant incident rate is usually lower than the national rate, averaging four each year.

Incidents per 100,000 Pipeline Miles



Rail Crossing Safety

Train - Vehicle Collisions



One measure the commission uses to monitor rail crossing safety is the rate of crossing collisions per million train miles. This allows the UTC to control for changing volumes of train traffic in Washington over time. It also allows the UTC to compare Washington's experience to national rates.

While the rate of train-vehicle collisions at crossings in Washington hit an all-time low in 2013, collision rates increased and have remained steady for the past six years. Commission rail safety staff continue to work with railroads and road authorities to identify and implement strategies to improve safety at crossings with multiple collisions.



2021-2023

Information Technology Strategic Plan

IT Vision and Mission

Be a valued partner and asset that agency staff rely on to get their work done through quality IT tools, services, and collaboration.

The IT Team serves commission staff, stakeholders, and the public by being responsible stewards of the commission's data and resources and providing the tools and services they need to conduct business.

IT Strategic Goals

Information Services has established the following strategic goals and objectives for the 2021-2023 biennium. These goals and objectives are driven primarily by the commission's strategic business plan "Goal 4: Improve Business Performance" on page 10, and the directives established by its IT Steering Committee.

Move to the cloud

Fully transition to the state's Microsoft 365 cloud.

Develop a Microsoft Azure cloud infrastructure, and redevelop and migrate the commission's line-of-business applications to the Microsoft Azure cloud.

Migrate servers from the WaTech Private Cloud to Azure.

Embrace and encourage mobility

Continue to provide solutions that allow employees to work remotely.

Enhance the accessibility of agency applications by moving them to the cloud, and update interfaces to support the use of mobile devices.

Evolve our services and applications and reduce technical debt.

Transition to the *One Washington* Enterprise Financial Systems (ERP). Redesign our interfaces and processes to support the new ERP.

Ensure application, server, and workstation platforms and tools are up to date.

IT Strategic Plan Continued

Engage the public and stakeholders

Enhance the commission’s website to improve online interaction with customers through the Company Portal, reducing paper and improving accessibility.

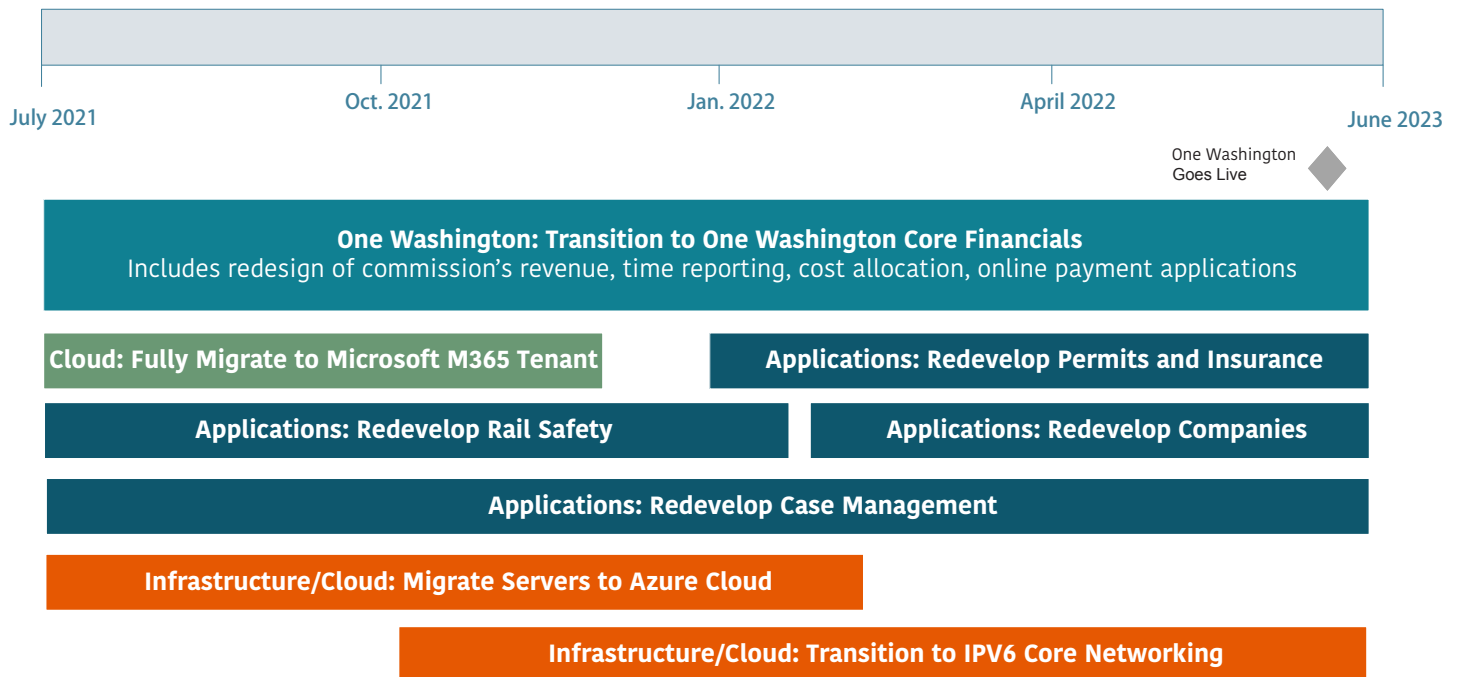
Improve the search capabilities of the commission’s Cases database, which manages documents for all commission proceedings, to make it easier for staff and customers to find information using the docket search.

Provide a secure, stable computing environment

Adapt and ensure compliance with the evolving state IT security standards as they are developed and as the commission transitions to cloud services.

Plan the transition to Internet Protocol Version 6 (IPV6) network addressing as WaTech modernizes its core network architecture.

Information Technology Strategic Timeline 2021-2023 Biennium



UTC's Statutory Authority

The commission regulates utilities under authority granted in Title 80 and transportation companies under Title 81 of the Revised Code of Washington (RCW). The commission's rules are in Title 480 of the Washington Administrative Code (WAC).

The following chapters authorize the commission's transportation and safety programs:

- 81.04 Regulations—general
- 81.08 Securities
- 81.12 Transfers of property
- 81.16 Affiliated interests
- 81.20 Investigation of public service companies
- 81.24 Regulatory fees
- 81.28 Common carriers in general
- 81.44 Common carriers—equipment
- 81.48 Railroads—operating requirements and regulations
- 81.52 Railroads—rights of way—spurs—fences
- 81.53 Railroads—crossings
- 81.54 Railroads—inspection of industrial crossings
- 81.66 Transportation for persons with special needs
- 81.68 Auto transportation companies
- 81.70 Passenger charter carriers
- 81.77 Solid waste collection companies
- 81.80 Motor freight carriers (trucking and household goods movers)
- 81.84 Commercial ferries
- 81.88 Gas and hazardous liquid pipelines
- 81.108 Low level radioactive waste disposal sites
- 81.116 Marine pilotage rate-setting
- 19.122 Underground utilities

The following chapters authorize the commission's utility regulatory programs:

- 80.01 Utilities and Transportation Commission
- 80.04 Regulations—general, including hearing procedures, annual reports, etc.
- 80.08 Securities
- 80.12 Transfers of property
- 80.16 Affiliated interests
- 80.20 Investigation of public service companies
- 80.24 Regulatory fees
- 80.28 Gas, electrical, and water companies and community solar projects
- 80.36 Telecommunications
- 80.50 Energy Facilities—site locations
- 80.54 Attachments to transmission facilities
- 80.60 Net metering of electricity
- 80.66 Radio communication service companies
- 80.80 Greenhouse gases emissions—baseload





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