

Received _____

Examined _____

CLASS A
WATER UTILITIES

U# _____

2016
ANNUAL REPORT
OF

CALIFORNIA-AMERICAN WATER COMPANY

(NAME UNDER WHICH CORPORATION, PARTNERSHIP, OR INDIVIDUAL IS DOING BUSINESS)

655 West Broadway Suite 1410, San Diego, CA

92101

(OFFICIAL MAILING ADDRESS)

ZIP

TO THE
PUBLIC UTILITIES COMMISSION
STATE OF CALIFORNIA
FOR THE
YEAR ENDED DECEMBER 31, 2016

REPORT MUST BE FILED NOT LATER THAN MARCH 31, 2017

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GENERAL INSTRUCTIONS

1. Two completed and signed hard copies of this report and one electronic copy must be filed **NOT LATER THAN MARCH 31, 2017**, with:

**CALIFORNIA PUBLIC UTILITIES COMMISSION
WATER DIVISION
ATTN: BRUCE DEBERRY
505 VAN NESS AVENUE, ROOM 3106
SAN FRANCISCO, CALIFORNIA 94102-3298
bmd@cpuc.ca.gov**

2. Failure to file the report on time may subject a utility to the penalties and sanctions provided by the Public Utilities Code.
3. The Oath on Page 61, must be signed by an authorized officer, partner, or owner.
4. The report must be prepared in ink or by the use of a typewriter. Computer generated report forms may be substituted.
5. The report must be filled in, and every question answered. **LEAVE NO SCHEDULE BLANK.** Insert the words "none" or "not applicable" or "n/a" when appropriate.
6. Certain balance sheet and income statement accounts refer to supplemental schedules. The totals of the details in the latter must agree with the balances of the accounts to which they refer.
7. Some schedules provide for a "balance at beginning of year." The amount shown should agree with the "balance at end of year" as shown in the report for the previous year. If there is a difference, it should be explained by footnote.
8. When there is insufficient space in a schedule to permit a complete statement of the requested information, insert sheets should be prepared and identified by the number of the schedule to which it refers. Be certain that the inserts are securely attached to the report. If inserts are needed, prepare all inserts in one separate electronic file in Microsoft Excel format and file it with the electronic file of this report.
9. This report must cover the calendar year from January 1, 2016, through December 31, 2016. Fiscal year reports will not be accepted.
10. Your company's external auditor information, such as external auditor's name, phone number, and address, must be included in Page 12, Item 12, of this report.

I N S T R U C T I O N S

FOR PREPARATION OF SELECTED FINANCIAL DATA SHEET FOR ALL WATER UTILITIES

To prepare the attached data sheets, refer to the Balance Sheet, Income Statement and supporting detail schedules in the annual report for the required data.

Please follow the instructions below:

1. Common plant allocated to water should be indicated with water plant figures in Net Plant Investment.
2. The capitalization section for those reporting on both California Only and Total System Forms should be identical and completed with Total Company Data. Be sure that Advances for Construction include California water data only.
3. Complete the operation section with California water revenues and expenses, but if necessary, remove interdepartmental revenues and expenses.
4. All other utility and nonutility revenues and expenses are netted on Line No. 38.

BALANCE SHEET AND CAPITALIZATION DATA

Calendar Year 2016

NAME OF UTILITY California-American Water PHONE 1-619-446-4761

PERSON RESPONSIBLE FOR THIS REPORT Richard Svindland

	1/1/2016	12/31/2016	Average
BALANCE SHEET DATA			
1 Intangible Plant	\$ 1,314,489	\$ 2,914,489	\$ 2,114,489
2 Land and Land Rights	<u>6,308,473</u>	<u>6,754,267</u>	<u>6,531,370</u>
3 Depreciable Plant	<u>841,949,261</u>	<u>884,483,258</u>	<u>863,216,259</u>
4 Gross Plant in Service	<u>849,572,223</u>	<u>894,152,014</u>	<u>871,862,118</u>
5 Less: Accumulated Depreciation	<u>(291,019,917)</u>	<u>(308,545,346)</u>	<u>(299,782,632)</u>
6 Net Water Plant in Service	<u>558,552,306</u>	<u>585,606,668</u>	<u>572,079,486</u>
7 Water Plant Held for Future Use	<u>1,462,195</u>	<u>1,462,195</u>	<u>1,462,195</u>
8 Construction Work in Progress	<u>75,788,591</u>	<u>94,743,287</u>	<u>85,265,939</u>
9 Materials and Supplies	<u>742,821</u>	<u>844,636</u>	<u>793,729</u>
10 Less: Advances for Construction	<u>(15,948,679)</u>	<u>(16,840,762)</u>	<u>(16,394,721)</u>
11 Less: Contributions in Aid of Construction	<u>(60,808,360)</u>	<u>(60,807,050)</u>	<u>(60,807,705)</u>
12 Less: Accumulated Deferred Income and Investment Tax Credits	<u>(61,396,978)</u>	<u>(93,230,611)</u>	<u>(77,313,795)</u>
13 Net Plant Investment	<u>\$ 498,391,896</u>	<u>\$ 511,778,363</u>	<u>\$ 505,085,128</u>
 CAPITALIZATION			
14 Common Stock	<u>\$ 92,477,914</u>	<u>\$ 92,477,914</u>	<u>\$ 92,477,914</u>
15 Proprietary Capital (Individual or Partnership)	<u>0</u>	<u>0</u>	<u>0</u>
16 Paid-in Capital	<u>172,708,816</u>	<u>184,430,671</u>	<u>178,569,744</u>
17 Retained Earnings	<u>60,238,026</u>	<u>69,078,842</u>	<u>64,658,434</u>
18 Common Stock and Equity (Lines 14 through 17)	<u>325,424,756</u>	<u>345,987,427</u>	<u>335,706,092</u>
19 Preferred Stock	<u>0</u>	<u>0</u>	<u>0</u>
20 Long-Term Debt	<u>288,632,696</u>	<u>295,153,575</u>	<u>291,893,136</u>
21 Notes Payable	<u>0</u>	<u>0</u>	<u>0</u>
22 Total Capitalization (Lines 18 through 21)	<u>\$ 614,057,452</u>	<u>\$ 641,141,002</u>	<u>\$ 627,599,228</u>

Note: _____

INCOME STATEMENT AND OTHER DATA

Calendar Year 2016

NAME OF UTILITY California-American Water

PHONE 1-619-446-4761

	Annual Amount
INCOME STATEMENT	
23 Unmetered Water Revenue	(83)
24 Fire Protection Revenue	2,845,962
25 Irrigation Revenue	-
26 Metered Water Revenue	206,243,400
27 Total Operating Revenue	209,089,280
28 <u>Operating Expenses</u>	118,462,608
29 Depreciation Expense (Composite Rate 2.67%)	21,598,190
30 Amortization and Property Losses	(3,364,371)
31 Property Taxes	4,644,894
32 Taxes Other Than Income Taxes	1,679,152
33 Total Operating Revenue Deduction Before Taxes	66,068,806
34 California Corp. Franchise Tax	280,892
35 Federal Corporate Income Tax	22,067,507
36 Total Operating Revenue Deduction After Taxes	43,720,408
37 Net Operating Income (Loss) - California Water Operations	43,720,408
38 Other Operating and Nonoperating. Income and Exp. - Net (Exclude Interest Expense)	5,252,525
39 Income Available for Fixed Charges	48,972,933
40 Interest Expense	16,450,032
41 Net Income (Loss) Before Dividends	32,522,901
42 Preferred Stock Dividends	-
43 Net Income (Loss) Available for Common Stock	32,522,901
OTHER DATA	
44 Refunds of Advances for Construction	(45,675)
45 Total Payroll Charged to Operating Expenses	20,784,118
46 Purchased Water	40,792,841
47 Power	5,591,781
48 Class A Water Companies Only:	
a. Pre-TRA 1986 Contributions in Aid of Construction	50,852,200
b. Pre-TRA 1986 Advances for Construction	5,531,353
c. Post TRA 1986 Contributions in Aid of Construction	9,954,850
d. Post TRA 1986 Advances for Construction	13,130,907

			Annual Average
<u>Active Service Connections</u>	(Exc. Fire Protect.)	Jan. 1	Dec. 31
49 Metered Service Connections		168,874	169,588
50 Flat Rate Service Connections		21,937	17,989
51 Total Active Service Connections		190,811	187,577
		169,231	19,963
		189,194	

BALANCE SHEET AND CAPITALIZATION DATA Adjusted to Exclude Non-Regulated Activity

Calendar Year 2016

NAME OF UTILITY California-American Water PHONE 1-619-446-4761

PERSON RESPONSIBLE FOR THIS REPORT Richard Svindland

	1/1/2016	12/31/2016	Average
BALANCE SHEET DATA			
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CAPITALIZATION			
14 Common Stock	\$ 92,477,914	\$ 92,477,914	\$ 92,477,914
15 Proprietary Capital (Individual or Partnership)	0	0	0
16 Paid-in Capital	172,708,816	184,430,671	178,569,744
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20 Long-Term Debt	288,632,696	295,153,575	291,893,136
21 Notes Payable	0	0	0
22 Total Capitalization (Lines 18 through 21)	<u>\$ 614,057,452</u>	<u>\$ 641,141,002</u>	<u>\$ 627,599,227</u>

Note: _____

INCOME STATEMENT AND OTHER DATA
Adjusted to Exclude Non-Regulated Activity
 Calendar Year 2016

NAME OF UTILITY California-American Water

PHONE 1-619-446-4761

	Annual Amount
INCOME STATEMENT	
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25 Irrigation Revenue	-
26 Metered Water Revenue	206,243,400
27 Total Operating Revenue	209,089,280
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31 Property Taxes	4,644,894
32 Taxes Other Than Income Taxes	1,679,152
33 Total Operating Revenue Deduction Before Taxes	66,068,806
34 California Corp. Franchise Tax	280,892
35 Federal Corporate Income Tax	21,922,966
36 Total Operating Revenue Deduction After Taxes	43,864,949
37 Net Operating Income (Loss) - California Water Operations	43,864,949
38 Other Operating and Nonoperating. Income and Exp. - Net (Exclude Interest Expense)	4,922,823
39 Income Available for Fixed Charges	48,787,772
40 Interest Expense	16,450,032
41 Net Income (Loss) Before Dividends	32,337,740
42 Preferred Stock Dividends	-
43 Net Income (Loss) Available for Common Stock	32,337,740

OTHER DATA	
44 Refunds of Advances for Construction	(45,675)
45 Total Payroll Charged to Operating Expenses	20,784,118
46 Purchased Water	40,792,841
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b. Pre-TRA 1986 Advances for Construction	5,531,353
c. Post TRA 1986 Contributions in Aid of Construction	9,954,850
d. Post TRA 1986 Advances for Construction	13,130,907

<u>Active Service Connections</u>	(Exc. Fire Protect.)	Jan. 1	Dec. 31	Annual Average
49 Metered Service Connections		168,874	169,588	169,231
50 Flat Rate Service Connections		21,937	17,989	19,963
51 Total Active Service Connections		190,811	187,577	189,194

Notes to Adjusted Selected Financial Data

Instructions: Provide reasons for each adjustment to the Selected Financial Data due to non-regulated activities. Detail this information by name of line item (Gross Plant, Operating Revenues, etc.), account number, dollar amount, and by point in time (end of year, beginning of year, or average).

Other Operating and Nonoperating Income and Exp. - Net (Exclude Interest Expense), Account Numbers 526 and 522, Dollar Amount \$329,702 is the non-regulated activity as referenced in Excess
1 Capacity schedule.

Federal Corporate Income Tax, Account Number 507, Dollar Amount \$144,541 represents tax effect
2 of reduction of non-regulated revenues.

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Excess Capacity and Non-Tariffed Services

NOTE: In D.00-07-018, D.03-04-028, and D. 04-12-023, the CPUC set forth rules and requirements regarding water utilities provision of non-tariffed services using excess capacity. These decisions require water utilities to: 1) file an advice letter requesting Commission approval of that service, 2) provide information regarding non-tariffed goods/services in each companies Annual Report to the Commission.

Based on the information and filings required in D.00-07-018, D.03-04-028, and D.04-12-023, provide the following information by each individual non-tariffed good and service provided in 2016:

Applies to All Non-Tariffed Goods/Services that require Approval by Advice Letter											
Row Number	Description of Non-Tariffed Goods/Services	Active or Passive	Total Revenue Derived from Non-tariffed Goods/ Services (by account)	Revenue Account Number	Total Expenses Incurred to Provide Non-tariffed Goods/ Services (by account)	Expense Account Number	Advice Letter and/or Resolution Number Approving Non-tariffed Goods/ Services	Total Income Tax Liability Incurred Because of Non-tariffed Goods/ Services (by account)	Income Tax Liability Account Number	Gross Value of Regulated Assets Used in the Provision of a Non-tariffed Goods/ Services (by account)	Regulated Asset Account Number
	Operating and Maintenance Contracts	Active	See Attached	526	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Antenna Leases	Passive	See Attached	522	N/A	N/A	N/A	N/A	N/A	N/A	N/A

See Attachments for additional detail

California-American Water Company
Addendum to Schedule Excess Capacity and Non-Tariffed Services
NTP&S Projects
12/31/2016

<u>Name of Contract/Service</u>	<u>Active or Passive</u>	<u>Gross Revenue</u>	<u>Revenue Sharing</u>
Operating and Maintenance Contracts			
Wildwings	Active	(87,969.00)	(8,796.90)
Total O&M Contracts		(87,969.00)	(8,796.90)
Antenna & Real Property Leases			
Cingular (1)	Passive	(47,479.20)	(14,243.76)
Cricket Communications (2)	Passive	(64,845.16)	(19,453.55)
MetroPCS (3)	Passive	(96,560.88)	(28,968.26)
*Nextel	Passive	(17,280.00)	(5,184.00)
Sprint United Management Co. (1)	Passive	(23,549.08)	(7,064.72)
Sprint (f/k/a Clear Wireless) (1)	Passive	(24,000.00)	(7,200.00)
Verizon Wireless (1)	Passive	(72,185.92)	(21,655.78)
Silke Communications	Passive	(3,000.00)	(900.00)
*Real Property Leases	Passive	(9,000.00)	(2,700.00)
Total Antenna & Real Property Leases		(357,900.24)	(107,370.07)

* Represent accounting errors for billings that continued after contracts were terminated or expired

2016 Annual Report of California-American Water Company
to the California Public Utilities Commission

ATTACHMENT A

2016 ANNUAL REPORT OF NTP&S PROJECTS

In accordance with Rule X.E of the Modified Rules for Water and Sewer Utilities Regarding Affiliate Transactions and the Use of Regulated Assets for Non-Tariffed Utility Services (Appendix A of D.12-01-042) (“Rules”), California-American Water Company (“CAWC”) provides the following information, in addition to the information provided in its Excess Capacity and Non-Tariffed Services schedule, regarding its Non-tariffed Products and Services (“NTP&S”):

I. Descriptions of NTP&S Activities:

A. Antenna Leases/License Agreements. During calendar year 2016, CAWC had a total of ten (10) antenna leases/license agreements with six (6) different carriers for various locations in its San Diego, and Monterey County Districts. Under these agreements, cellular service providers install, maintain and operate their antennas and appurtenances on CAWC properties without interference to normal day-to-day operations.

B. Operation and Maintenance Agreements. During calendar year 2016, CAWC had one (1) operation and maintenance (“O&M”) agreement in its Sacramento County District. Under the O&M agreement, CAWC operated and maintained water and water recycling systems for a third party. This agreement ended March of 2016.

II. Classification of NTP&S Activities

All NTP&S activities described above were classified as “active” or “passive” in accordance with the table: “Designation of Active and Passive NTP&S Water and Sewer Utility Projects” (see page A-16 of the Rules). All of the above activities pre-dated the effective date of the Rules and therefore no notice was required under Rule X.F. It is noted that the placement of the antenna equipment covered by the Silke agreement pre-exists the effective date of the Rules, but the agreement identified in the Excess Capacity Schedule was entered into in 2016.

III. Regulated Assets and Personnel Used for the NTP&S:

A. Antenna Leases/License Agreements. Antennas and their associated appurtenances are typically mounted on elevated water tanks, co-located on utility poles with CAWC communications facilities, or installed on the grounds of utility sites. No other regulated assets were used for these agreements. No CAWC personnel provided services for these agreements.

B. Operation and Maintenance Contract. No regulated assets were used for the O&M contract. The equivalent of one full-time Water Treatment Operator III provides services for this activity. The associated labor is not included in the revenue requirement for the Sacramento District.

GENERAL INFORMATION

- 1 Name under which utility is doing business:
California-American Water Company
- 2 Official mailing address:
655 West Broadway, Suite 1410, San Diego, CA ZIP **92101**
- 3 Name and title of person to whom correspondence should be addressed:
Richard Svindland, President (effective 3/1/2017) Telephone: **1-619-446-4761**
- 4 Address where accounting records are maintained:
131 Woodcrest Road, Cherry Hill, NJ 08003
- 5 Service Area (Refer to district reports if applicable):
See District Reports
- 6 Service Manager (If located in or near Service Area.) (Refer to district reports if applicable.)
 Name: **See District Reports**
 Address: _____ Telephone: _____
- 7 OWNERSHIP. Check and fill in appropriate line:
- | | | |
|-------------------------------------|---------------------------------------|-----------------------------------|
| <input type="checkbox"/> | Individual (name of owner) _____ | |
| <input type="checkbox"/> | Partnership (name of partner) _____ | |
| <input type="checkbox"/> | Partnership (name of partner) _____ | |
| <input type="checkbox"/> | Partnership (name of partner) _____ | |
| <input checked="" type="checkbox"/> | Corporation (corporate name) _____ | California-American Water Company |
| | Organized under laws of (state) _____ | California Date: 12/7/1965 |
- Principal Officers:
- | | |
|-------------------|---|
| Robert G MacLean | President |
| Jeffrey Dana | VP Finance & Treasurer |
| Kevin Tilden | VP External Affairs |
| Richard Svindland | VP Operations |
| Vacant | VP Human Resources |
| Anthony Cerasuolo | VP Legal - Operations & Secretary |
| Ian Crooks | VP - Engineering (effective 12/7/2016) |
| Sarah Leeper | VP Legal - Regulatory & Assistant Secretary |
| Lori Girard | Assistant Secretary |
| Stacey Fulter | Assistant Treasurer |
| Kathryn Horning | Assistant Secretary (effective 2/25/2016) |
- 8 Names of associated companies:

- 9 Names of corporations, firms or individuals whose property or portion of property have been acquired during the year, together with date of each acquisition:
 Geyserville Date: December 31, 2016
 _____ Date: _____
 _____ Date: _____
 _____ Date: _____
- 10 Use the space below for supplementary information or explanations concerning this report:
None
- 11 List Name, Grade, and License Number of all Licensed Operators:
See Attached List
12. List Name, Address, and Phone Number of your company's external auditor:
 Name: PricewaterhouseCoopers, LLP Telephone: 267 330-3000
 Address: 2001 Market St. Suite1700 Philadelphia, PA 19103
13. This annual report was prepared by:
- Name of firm or consultant: _____ n/a
- Address of firm or consultant: _____
- Phone Number of firm or consultant: () _____

**California American Water
Northern Division
Certified Water Treatment And Distribution Operators**

Sacramento District, Larkfield, and Meadowbrook		WATER DISTRIBUTION			WATER TREATMENT		WASTEWATER TREATMENT	
Name	Position (Required Cert)	SWRCB			SWRCB		SWRCB	
		Grade	Opr #	Exp Date	Opr #	Exp Date	Grade	Exp Date
Biedenbender, Dayton	Distribution System Operator (D2)	D4	36752	2/1/2019	31380	2/1/2019	-	-
Burke, Tyler	Distribution System Operator (D2)	D2	41077	5/1/2018	33238	7/1/2017	-	-
Casebier, Steve	Water Treatment Operator III (D2 & T3)	D2	14641	12/1/2018	12161	12/1/2019	WW2	6/30/2017
Christenson, Dan	Sr. Distribution System Op (D2 & Class A)	D2	14642	8/1/2018	-	-	-	-
Claxton, Rodney	Sr. Distribution System Op (D2 & Class A)	D2	35736	4/1/2018	-	-	-	-
Cokley, Jirasak	Sr. Serviceperson (D1)	D2	32983	5/1/2019	-	-	-	-
Coleman, Terry	Serviceperson Foreman	D2	29308	1/1/2019	29889	7/1/2017	-	-
Eastman, Billy	Distribution System Operator (D2)	D3	36614	1/1/2018	-	-	-	-
Epps, Brian	Water Treatment Operator III (D2 & T3)	D4	5831	4/1/2018	10786	11/1/2019	-	-
Fackrell, Orson	Water Treatment Operator III (D2 & T3)	D2	37187	11/1/2018	22768	8/1/2019	WW1	6/30/2017
Fernandez, David	Serviceperson (None)	-	-	-	-	-	-	-
Folsom, Bryan	Distribution System Operator (D2)	D2	43927	5/1/2020	40039	1/1/2020	-	-
Fuller, Mike	Serviceperson (None)	D2	27713	6/1/2019	27574	7/1/2018	-	-
Garcia, Oscar Avalos	Distribution System Opr-Meters (D2)	D2	44699	11/1/2017	-	-	-	-
Hannon, M. "Sonny"	Water Treatment Operator III (D2 & T3)	D4	36062	8/1/2017	29121	3/1/2019	-	-
Jones-Wicks, Joseph	Distribution System Opr-Meters (D2)	D2	42391	5/1/2018	-	-	-	-
Lopez, Arturo	Serviceperson (None)	-	-	-	-	-	-	-
Magallon Jr., Javier	Serviceperson (None)	-	-	-	-	-	-	-
Martin, Jose L.	Distribution System Operator (D2)	D2	35984	4/1/2018	-	-	-	-
Nylander, Kevin	Distribution System Operator (D2)	D3	43299	11/1/2019	35773	1/1/2020	-	-
Olivarez, Oscar	Distribution Foreman (D2 & Class A)	D2	20175	6/1/2018	-	-	-	-
Perez, Osvaldo	Distribution Foreman - Meters (D2)	D2	36023	4/1/2018	-	-	-	-
Pennington, Tyler	Serviceperson (None)	-	-	-	-	-	-	-
Pettit, Derek	Water Treatment Operator III (D2 & T3)	D2	39615	6/1/2017	33419	4/1/2018	WW2	9/9/2018
Polillo, Stephen	Distribution System Operator (D2)	D2	40442	12/1/2017	-	-	-	-
Sanborn, Daniel	Water Treatment Operator III (D2 & T3)	D3	35324	6/1/2017	36204	-	-	-
Silvas, Jered	Water Treatment Operator II (D2 & T2)	D2	33341	10/1/2019	35725	7/1/2019	-	-
Tarp, Ronald D.	Water Treatment Operator II (D2 & T2)	D2	28238	4/1/2019	27634	7/1/2017	-	-
Torres, Hector	Distribution System Opr-Meters (D2)	D2	38696	3/1/2020	-	-	-	-
Trotter, Craig	Sr. Distribution System Op (D2 & Class A)	D5	33347	7/1/2020	29901	7/1/2017	-	-
Trush, Daniel	Water Treatment Operator III (D2 & T3)	D3	20176	7/1/2018	27672	4/1/2019	-	-
Valtman, Mark	Water Treatment Operator II (D2 & T2)	D2	9805	6/1/2018	26107	7/1/2018	-	-
Villasenor, Noe	Water Treatment Operator II (D2 & T2)	D2	20177	1/1/2019	27637	7/1/2018	-	-
Webster, Joshua	Water Treatment Foreman (D2 & T3)	D2	33353	10/1/2019	28576	8/1/2018	-	-
Wilson, Nick J.	Water Treatment Operator III (D2 & T3)	D4	28338	2/1/2018	29297	6/1/2018	WW1	10/26/2017
Amini, Al	Electrician	-	-	-	33208	7/1/2017	-	-
Baril, Christina	WQ & EC Specialist II	D2	46329	12/1/2018	37442	6/1/2018	-	-
Bell, Jared	Operations Supervisor	D2	8988	4/1/2018	23413	3/1/2020	-	-
Brunet, Thomas	Sr. Manager, Project Development	-	-	-	33666	12/1/2017	-	-
Cheek, Jason	Water System Operator	D4	35346	6/1/2020	28808	4/1/2020	-	-
Crowther, Chris	Water Systems Operator	D4	26990	12/1/2017	22906	4/1/2018	-	-
DiGenova, Margaret	Operations Superintendent	D3	25883	1/1/2020	25767	4/1/2018	-	-
Diller, John	Sr. Specialist Maint Service	-	-	-	6360	7/1/2020	-	-
Flint, Kevin L	Supvr Opns I	D3	31038	9/1/2017	-	-	-	-
Garcia, Mariano	Electrician	-	-	-	33127	7/1/2017	-	-
Hamman, Zachary	Water System Operator	D2	46220	12/1/2018	36692	1/1/2018	-	-
Kehoe, Casey	Water System Operator	D2	43587	5/1/2020	35132	2/1/2019	-	-
Kunda, Victoria	Mgr, WQ & EC	D2	45911	10/1/2018	37548	7/1/2018	-	-
Mullins, Timothy	Superintendent	D3	5345	7/1/2018	32625	1/1/2018	-	-
Hamman, Zachary	Water Systems Operator	D2	46220	12/1/2018	36692	1/1/2018	-	-

CALIFORNIA AMERICAN WATER
System Permit Requirements
Operator Certifications

Monterey County District		WATER DISTRIBUTION				WATER TREATMENT				WASTEWATER			
		State Water Resources Control Board				State Water Resources Control Board				State Water Resources Control Board			
Name	Classification	Number	Grade	Renewal	Expiration	Number	Grade	Renewal	Expiration	Number	Grade	Renewal	Expiration
Adams, Erik	Laboratory Technician					38762	1	4/1/2019	8/1/2019				
Aguilera, Veronica	Customer Service Rep/Teller	46694	2	1/1/2019	5/1/2019	38079	2	9/1/2018	1/1/2019				
Aliganga, Alexander M.	W/WW Plant Operator II	38706	2	2/1/2020	6/1/2020					42552	2		12/20/2018
Almanza, Salvador S.	Utility Worker II	10261	2	11/1/2017	3/1/2018								
Alvarez, Antonio	Treatment Plant Operator	42938	3	10/1/2019	2/1/2020	36509	2	3/1/2017	7/1/2017				
Andalon, Gerardo	Meter Repair Tech	46386	1	8/1/2018	12/1/2018								
Arveson, Leonard	Prod-Treatment Operator II	5639	3	11/1/2017	3/1/2018	15717	2	2/1/2019	6/1/2019				
Ask, Cody	Utility Worker I	47495	1	7/1/2019	11/1/2019								
Barber, Mark L.	Pump Operator	30292	1	9/1/2017	1/1/2018								
Bell, Aaron	Field Service Rep												
Beltran, Jaime	Meter Repair Tech	46204	1	7/1/2018	11/1/2018								
Benson, Michael	Customer Service Rep/Teller												
Bricker Jr., James P.	Wastewater Foreman	25659	2	9/1/2018	1/1/2019	25090	2	9/1/2018	1/1/2019	10743	3		6/30/2017
Burritt, George V.	Wastewater Plant Operator III	15007	4	8/1/2017	12/1/2017	23813	3	4/1/2020	8/1/2020	10381	2		12/31/2017
Bustamante, Sergio	Treatment Plant Operator	28246	3	4/1/2019	8/1/2019	27682	3	6/1/2017	10/1/2017				
Ceballos, Raymond M.	Utility Worker I	31501	1	6/1/2018	10/1/2018								
Cervantes, Jose	Meter Reader												
Chargin, Brenda S.	Wastewater Plant Operator II	27892	2	12/1/2019	4/1/2020	26213	2	9/1/2019	1/1/2020	28734	2	8/31/2017	12/31/2017
Companion, Jason	Engineering Tech												
Coppla, Robert T.	Treatment Plant Operator Foreman	4944	4	11/1/2017	3/1/2018	14839	4	10/1/2019	2/1/2020				
Corda, Martin	Sr. Specialist ORM	23007	2	7/1/2017	11/1/2017	27885	2	4/1/2018	8/1/2018				
Cruz-Gonzalez, Ronaldo	Wastewater Plant Operator II	37408	2	1/1/2019	5/1/2019	31644	1	10/1/2018	2/1/2019	28727	2		6/30/2018
Curtice, Luke E.	Utility Worker II	9606	2	4/1/2018	8/1/2018								
Daniels, Gregory S.	Wastewater Plant Operator II	31348	2	3/1/2018	7/1/2018					10191	2		6/30/2018
De Ocampo, Raymond T.	Laboratory Technician Grade III												
Deese, Joshua J.	Utility Worker I	38093	1	2/1/2019	6/1/2019								
DiMaggio, Joseph L.	Operations Supervisor	9607	2	4/1/2018	8/1/2018								
Dolor, Raymundo C.	Water Conservation Specialist, Lead												
Dorsey, Nester T.	Pump Operator II	7178	2	4/1/2018	8/1/2018								
Draeger, Randal M.	Utility Worker II	9837	3	4/1/2018	8/1/2018								
Eldridge, Ron L.	Pump Operator II	4547	2	4/1/2018	8/1/2018								
Fox, Harriet	Water Conservation Specialist	43219	1	7/1/2019	11/1/2019								
Fugitt, David A.	Pump Operator III	4549	4	12/1/2017	4/1/2018	9697	3	1/1/2019	5/1/2019				
Gambo, Tino M.	Utility Worker II	7356	3	3/1/2018	7/1/2018								
Garza, Ernesto	Sr Specialist Maint Service	27751	1	2/1/2019	6/1/2019								
Glass, Patricia M.	Production Specialist	29978	2	1/1/2019	5/1/2019	27417	1	11/1/2017	3/1/2018				
Gonzalez, Julio Aman	Sr. Project Engineer												
Hall, Tiffani	Customer Service Rep/Teller	47606	1	7/1/2019	11/1/2019								
Hernandez, Manuel	Maintenance Mechanic	37919	2	7/1/2019	11/1/2019	34003	2	10/1/2018	2/1/2019				
Jacobson, Susan	Specialist Water Quality II	25707	1	5/1/2018	9/1/2018	25344	2	2/1/2020	6/1/2020				
James, Robert	Operations Supervisor					11633	3	4/1/2017	8/1/2017				
Jaquay, Preston	Operations Supervisor	46564	1	12/1/2018	4/1/2019								
Kendrick, Bowen	Operations Supervisor	43619	3	11/1/2019	3/1/2020	36118	2	3/1/2017	7/1/2017				
Kolonics, Andrew J.	Backhoe Operator	14940	2	4/1/2018	8/1/2018	12828	1	11/1/2019	3/1/2020				
La Sala, Vincent B.	Small Crew Foreman	9603	3	8/1/2018	12/1/2018								
Lashley, Charles E.	Utility Worker I	28813	1	10/1/2019	2/1/2020								
Lau, Helen	Environmental Quality Specialist II	41637	2	1/1/2018	5/1/2018	35831	2	2/1/2018	6/1/2018				
Magretto, Mike	Business Performance Manager	4552	5	10/1/2018	2/1/2019	12255	5	5/1/2018	9/1/2018	43059	OIT-I		8/31/2017
Martignoni, Michael	Wastewater Plant Operator II									28691	2		6/30/2018
Martin, James E.	Utility Worker II	6709	3	12/1/2017	4/1/2018								
Martin, James A.	Field Service Rep	46991	1	1/1/2019	5/1/2019								

CALIFORNIA AMERICAN WATER
System Permit Requirements
Operator Certifications

Monterey County District		WATER DISTRIBUTION				WATER TREATMENT				WASTEWATER			
		State Water Resources Control Board				State Water Resources Control Board				State Water Resources Control Board			
Name	Classification	Number	Grade	Renewal	Expiration	Number	Grade	Renewal	Expiration	Number	Grade	Renewal	Expiration
Maschmeyer, Kelly	Water Conservation Specialist	43208	2	1/1/2019	5/1/2019	37976	2	9/1/2018	1/1/2019				
McBride, Nate	Treatment Plant Operator IV	33766	4	7/1/2019	11/1/2019	29974	4	6/1/2017	10/1/2017				
McCarter, Jason	Utility Worker II	42903	2	8/1/2017	12/1/2017	37995	2	9/1/2018	1/1/2019				
McKenzie, Thomas G.	Utility Worker II	10262	2	3/1/2018	7/1/2018								
Miller, Nina	Ops Manager	46275	1	7/1/2018	11/1/2018								
Moreno, Cleotilde J.	Pump Operator	29846	2	12/1/2018	4/1/2019	28785	1	3/1/2019	7/1/2019				
Moss, Robert	Wastewater Plant Operator II	43035	2	1/1/2019	5/1/2019	35056	2	9/1/2018	1/1/2019	41116	3		2/16/2020
Munguia, Victor	Field Service Rep	37969	1	2/1/2019	6/1/2019								
Murdock, Mitchell E.	Wastewater Plant Operator III	25732	2	11/1/2018	3/1/2019	25192	2	3/1/2020	7/1/2020	6228	3		1/30/2018
Navar, Sal	Meter Reader Coordinator												
Nichols, James G. M.	Production Foreman IV	4555	4	4/1/2018	8/1/2018	18498	2	9/1/2018	1/1/2019				
Olis, Danny	Field Service Rep	46553	1	11/1/2018	3/1/2019								
Phillips, Christopher	Meter Reader												
Phillips, George F.	Small Crew Foreman II	14947	2	1/1/2018	5/1/2018								
Ramirez, Justin P.	Utility Worker II	36850	2	10/1/2019	2/1/2020								
Rappa, Paul M.	Small Crew Foreman III	4954	3	4/1/2018	8/1/2018								
Rea, Andres	Draftsperson	43037	2	7/1/2018	11/1/2018	38098	1	9/1/2018	1/1/2019				
Reynoso, Jesus A.	Field Service Rep	37636	1	1/1/2019	5/1/2019								
Richins, Michael J.	Sr Specialist Maint Service	25765	1	12/1/2017	4/1/2018	24822	1	8/1/2017	12/1/2017				
Riso, Joseph J.	Small Crew Foreman III	5407	3	11/1/2017	3/1/2018								
Rudolph, Christopher	Treatment Plant Operator II	46053	2	1/1/2019	5/1/2019	37326	2	9/1/2018	1/1/2019				
Russo, David W.	Pump Operator II	15548	2	4/1/2018	8/1/2018	10963	1	6/1/2017	10/1/2017				
Silva, Lesley	Project Manager Engineering	5410	5	12/1/2018	4/1/2019	35398	2	3/1/2019	7/1/2019				
Smith, Matthew A.	Treatment Plant Operator II	44402	2	7/1/2018	11/1/2018	36985	2	3/1/2018	7/1/2018				
Soto, Nicholas	Prod-Treatment Operator II	44417	2	7/1/2017	11/1/2017	36945	2	4/1/2018	8/1/2018				
Terry, Ryan	Treatment Plant Operator	44069	2	2/1/2020	6/1/2020	33948	3	9/1/2019	1/1/2020				
Torrente, Vincent	Small Crew Foreman III	4958	3	4/1/2018	8/1/2018								
Ward, Melissa	Water Conservation Specialist	43254	2	1/1/2019	5/1/2019	37841	2	9/1/2018	1/1/2019				
Wigg, Cornelius	Field Service Rep	38796	1	11/1/2019	3/1/2020								
Wood, Wesley H.	Meter Reader	47057	2	2/1/2019	6/1/2019								

California-American Water
System Permit Requirements
Operator Certifications

Los Angeles		WATER DISTRIBUTION			WATER TREATMENT		
		California Department of Public Health			DPH		
Name	Classification	Number	Grade	Expiration	Number	Grade	Expiration
Amarillas, Daniel	Utility Worker	3	37541	8/1/2018	2	37624	1/1/2019
Anderson, William	Sr Customer Service Representative	2	15392	8/1/2018			
Arenas, Raymond	Customer Service Representative	1	39788	8/1/2017			
Baker, Aimee	Administrative Assistant	1	45270	5/1/2018			
Cruz, Joe	Utility Worker II	2	29086	8/1/2019			
Echevarria, Herminio	Equipment Operator	3	7698	4/1/2018			
Gonzales, Jesus	Utility Worker	1	32688	4/1/2019			
Grindeland, Daryl	Utility Worker II	2	3710	4/1/2018			
Hofer, Garry	Director of Operations	2	36678	11/1/2017	2	34072	1/1/2018
Hori, Beverly	Operations Supervisor	2	4539	4/1/2018			
Knapp, Jessica	Operations Supervisor	1	44992	3/1/2018			
Marini, Erminio	Senior Pump Operator	5	29529	2/1/2020	4	19694	10/1/2017
McKeehan, Everett	Utility Worker II	3	3863	4/1/2018			
Morgan, Dennis	Pump Operator	3	5558	3/1/2018	2	33794	1/1/2018
Mullins, Timothy L.	Distribution Foreman	3	5345	7/1/2018	2	32625	1/1/2018
Navarro, Josue	Utility Worker	3	44669	2/1/2020	1	37804	1/1/2019
Nieto, Christopher	Utility Worker						
Playter, Tim	Pump Operator	4	39420	12/1/2017	2	33803	1/1/2018
Reifer, Mark	Planning Engineer	2	41966	12/1/2018			
Rojas, Eric	Foreman	4	2872	12/1/2017	2	27190	1/1/2018
Romero, Louie	Operations Supervisor-Prod & Dist	3	2872	6/1/2018			
Rosa, Matthew	Meter Reader	1	42568	5/1/2019			
Salcido, Michelle	Meter Reader	2	42758	5/1/2018			
Slusser, Christopher	Field Clerk/Utility Person	2	5077	4/1/2018			
Strommen, Dan	Pump Operator	3	5360	4/1/2018	2	23042	5/1/2019
Tanaka, Richard	Production Foreman	1	44973	3/1/2018	2	31796	1/1/2018
Welton, Jon	Equipment Operator	2	4106	4/1/2018			
Williams, Tracy	Customer Service Clerk	1	36702	10/1/2018			
Williamson, Geoffrey	Operations Specialist	2	45742	9/1/2018	2	35170	3/1/2019

California-American Water
System Permit Requirements
Operator Certifications

Ventura		WATER DISTRIBUTION			WATER TREATMENT		
		SWRCB			SWRCB		
Name	Position	Grade	Operator #	Expiration	Grade	Operator #	Expiration
Adams, Brandon	Laborer	D2	45131	05/01/18	T2	37259	06/01/18
Barajas, Emanuel	Utility Worker	D3	32894	05/01/18	T2	36856	06/01/18
Boyle, Tom	Operations Supervisor	D2	7131	09/01/18	T2	19605	05/01/19
Estrada, Henry	Utility Worker	D3	4355	03/01/18	T1	23449	05/01/19
Hilbert, Mike	Utility Worker	D2	15436	05/01/18	T1	24045	11/01/19
Lugo, Edgar	Utility Worker	D4	40242	12/01/19	T1	37024	02/01/18
Molina, Henry	Utility Worker	D2	28797	01/01/18	T1	30251	01/01/18
Roldan, Joe	Pump Operator	D3	5139	04/01/18	T1	19732	06/01/20
Salas, Emmanuel	Laborer						
Saldivar, Richard	Operations Manager	D2	10054	06/01/18	---	---	---
Trejo, Steven	Utility Worker	D4	39742	11/01/19	T2	33954	07/01/19
Victorero, Robert	Utility Worker	D2	14215	05/01/18	---	---	---
Williams, Jennifer	Business Performance Mgr	D5	14217	04/01/17	T2	23062	05/01/19

California-American Water
System Permit Requirements
Operator Certifications

Imperial Beach/San Diego		WATER DISTRIBUTION			WATER TREATMENT			WASTEWATER			BACKFLOW Devise		Cross Connection	
Name	Position	SWRCB			SWRCB			SWRCB			Certified Tester		Specialist	
		Grade	Operator #	Expiration	Grade	Operator #	Expiration	Grade	Operator #	Expiration	Operator #	Expiration	Certification #	Expiration
Becerra, Robert	Operations Sup	D3	9497	8/1/2017	T1	23802	11/1/2016	---	---	---	11492	12/31/2018		
Bennett, Eric	Utility Worker	D2	41662	12/1/2017	T1	36107	4/1/2020							
Cervantes, Havier	Utility Worker	D2	32353	11/1/2017	T1	35557	8/1/2019	---	---	---				
Corrales, Luis	Utility Worker	D2	42594	11/1/2017				---	---	---				
Dyson, Kyeim	Meter Reader							---	---	---				
Garcia, Victor	Foreman	D4	9065	5/1/2018	T2	23461	8/1/2017	---	---	---				
Hernandez, Charlie	Meter Reader	D2	10032	6/1/2018				---	---	---				
Laughter, Derrick	Meter Reader	D2	44735	11/1/2017	T2	38480	7/1/2019							
Lopez, Peter	Laborer	D2	40527	12/1/2017				---	---	---				
McKenzie, Richard	Utility Worker	D4	41617	7/1/2019	T2	34899	7/1/2019	---	---	---				
Mattis, Chris	Operations Mgr	D5	4017	6/1/2018	T2	14655	6/1/2020	---	---	---			00255	1/31/2018
Miller, Brian	Cust Field Rep	D2	17913	10/1/2017				---	---	---				
Nessman, Chris	Operations Spec	D3	9246	1/1/2018	T2	24861	1/1/2020	---	---	---	05-01458	3/19/2019		
Nevarez, Leonardo	Utility Worker	D2	26731	12/1/2019	T1	25851	7/1/2019	---	---	---				
Peraza, Jose L.	Laborer	D1	46657	5/1/2019				---	---	---				
Salas, Martin	Utility Worker	D3	27111	7/1/2019	T1	32655	1/1/2020	---	---	---				
Saldana, Cristina	Conservation							---	---	---				
Santoyo, Gabriel	Foreman	D3	18809	8/1/2018	T1	25454	1/1/2019	---	---	---				
Schuler, Matthew	Utility Worker	D3	39625	6/1/2020	T2	34387	7/1/2019	---	---	---				
Valdez, Ritchie	Utility Worker	D2	30205	1/1/2019	T1	33275	7/1/2017	---	---	---				

**SCHEDULE A
COMPARATIVE BALANCE SHEETS
Assets and Other Debits**

Line No.	Acct.	Title of Account (a)	Schedule No. (b)	Balance End-of-Year (c)	Balance Beginning of Year (d)
1		I. UTILITY PLANT			
2	100	Utility plant	A-1	990,357,496	926,823,009
3	107	Utility plant adjustments		3,651,852	3,651,852
4		Total utility plant		994,009,348	930,474,861
5	250	Reserve for depreciation of utility plant	A-3	308,545,346	291,019,917
6	251	Reserve for amortization of limited term utility investments	A-3	13,333	12,333
7	252	Reserve for amortization of utility plant acquisition adjustment	A-3	2,082,327	1,976,137
8		Total utility plant reserves		310,641,006	293,008,387
9		Total utility plant less reserves		683,368,342	637,466,474
10					
11		II. INVESTMENT AND FUND ACCOUNTS			
12	110	Other physical property	A-2	1,853,595	1,852,040
13	253	Reserve for depreciation and amortization of other property	A-3	70,191	68,625
14		Other physical property less reserve		1,783,404	1,783,415
15	111	Investments in associated companies	A-4	-	-
16	112	Other investments	A-5	-	-
17	113	Sinking funds	A-6	-	-
18	114	Miscellaneous special funds	A-7	-	-
19		Total investments and fund accounts		1,783,404	1,783,415
20					
21		III. CURRENT AND ACCRUED ASSETS			
22	120	Cash		225,840	140,057
23	121	Special deposits	A-8	75,925	62,866
24	122	Working funds		2,552	2,562
25	123	Temporary cash investments		-	-
26	124	Notes receivable	A-9	-	-
27	125	Accounts receivable		11,699,376	10,762,375
28	126	Receivables from associated companies	A-10	194,111	245,420
29	131	Materials and supplies		844,636	742,821
30	132	Prepayments	A-11	3,247,153	796,399
31	133	Other current and accrued assets	A-12	8,991,345	9,172,520
32		Total current and accrued assets		25,280,938	21,925,020
33					
34		IV. DEFERRED DEBITS			
35	140	Unamortized debt discount and expense	A-13	2,523,730	2,712,371
36	141	Extraordinary property losses	A-14	-	-
37	142	Preliminary survey and investigation charges		-	-
38	143	Clearing accounts		-	-
39	145	Other work in progress		-	-
40	146	Other deferred debits	A-15	276,853,141	255,133,358
41		Total deferred debits		279,376,871	257,847,729
42		Total assets and other debits		989,809,555	919,022,638
43					

SCHEDULE A
COMPARATIVE BALANCE SHEETS
Liabilities and Other Credits

Line No.	Acct.	Title of Account (a)	Schedule No. (b)	Balance End-of-Year (c)	Balance Beginning of Year (d)
1		I. CORPORATE CAPITAL AND SURPLUS			
2	200	Common capital stock	A-18	92,477,914	92,477,914
3	201	Preferred capital stock	A-18	-	-
4	202	Stock liability for conversion		-	-
5	203	Premiums and assessments on capital stock	A-19	-	-
6	150	Discount on capital stock	A-16	-	-
7	151	Capital stock expense	A-17	-	-
8	270	Capital surplus	A-20	184,430,671	172,708,816
9	271	Earned surplus	A-21	69,078,842	60,238,026
10		Total corporate capital and surplus		345,987,427	325,424,756
11					
12		II. PROPRIETARY CAPITAL			
13	204	Proprietary capital (Individual or partnership)	A-22	-	-
14	205	Undistributed profits of proprietorship or partnership	A-23	-	-
15		Total proprietary capital		-	-
16					
17		III. LONG-TERM DEBT			
18	210	Bonds	A-24	295,153,575	288,632,696
19	211	Receivers' certificates		-	-
20	212	Advances from associated companies	A-25	-	-
21	213	Miscellaneous long-term debt	A-26	-	-
22		Total long-term debt		295,153,575	288,632,696
23					
24		IV. CURRENT AND ACCRUED LIABILITIES			
25	220	Notes payable	A-28	24,500,993	45,184,003
26	221	Notes receivable discounted		-	-
27	222	Accounts payable		25,242,792	23,790,388
28	223	Payables to associated companies	A-29	7,005,802	10,261,078
29	224	Dividends declared		-	-
30	225	Matured long-term debt		25,002,090	10,001,324
31	226	Matured interest		-	-
32	227	Customers' deposits		-	-
33	228	Taxes accrued	A-31	22,852,902	(3,354,322)
34	229	Interest accrued		2,140,229	2,200,506
35	230	Other current and accrued liabilities	A-30	16,558,638	17,376,026
36		Total current and accrued liabilities		123,303,446	105,459,004
37					
38		V. DEFERRED CREDITS			
39	240	Unamortized premium on debt	A-13	-	-
40	241	Advances for construction	A-32	16,840,762	15,948,679
41	242	Other deferred credits	A-33	146,486,452	121,667,324
42		Total deferred credits		163,327,214	137,616,003
43					
44		VI. RESERVES			
45	254	Reserve for uncollectible accounts	A-34	1,133,845	984,822
46	255	Insurance reserve	A-34	-	-
47	256	Injuries and damages reserve	A-34	-	-
48	257	Employees' provident reserve	A-34	-	-
49	258	Other reserves	A-34	96,998	96,998
50		Total reserves		1,230,843	1,081,820
51					
52		VII. CONTRIBUTIONS IN AID OF CONSTRUCTION			
53	265	Contributions in aid of construction	A-35	60,807,050	60,808,360
54		Total liabilities and other credits		989,809,555	919,022,638

SCHEDULE B
Income Account for the Year

Line No.	Acct.	Account (a)	Schedule Page No. (b)	Amount (c)
1		I. UTILITY OPERATING INCOME		
2	501	Operating revenues	B-1	209,089,280
3				
4		Operating Revenue Deductions:		
5	502	Operating expenses	B-2	118,462,608
6	503	Depreciation	A-3	21,598,190
7	504	Amortization of limited-term utility investments	A-3	(3,470,561)
8	505	Amortization of utility plant acquisition adjustments	A-3	106,190
9	506	Property losses chargeable to operations	B-3	-
10	507	Taxes	B-4	28,672,445
11		Total operating revenue deductions		165,368,872
12		Net operating revenues		43,720,408
13	508	Income from utility plant leased to others		-
14	510	Rent for lease of utility plant		-
15		Total utility operating income		43,720,408
16				
17		II. OTHER INCOME		
18	521	Income from nonutility operations (Net)	B-6	-
19	522	Revenue from lease of other physical property		250,530
20	523	Dividend revenues		1,889
21	524	Interest revenues		1,841,279
22	525	Revenues from sinking and other funds		-
23	526	Miscellaneous nonoperating revenues	B-7	3,889,391
24	527	Nonoperating revenue deductions - Dr.	B-8	(508,923)
25		Total other income		5,474,166
26		Net income before income deductions		49,194,575
27				
28		III. INCOME DEDUCTIONS		
29	530	Interest on long-term debt		15,987,678
30	531	Amortization of debt discount and expense		232,200
31	532	Amortization of premium on debt - Cr.		-
32	533	Taxes assumed on interest		-
33	534	Interest on debt to associated companies		-
34	535	Other interest charges	B-9	462,354
35	536	Interest charged to construction - Cr.		-
36	537	Miscellaneous amortization		-
37	538	Miscellaneous income deductions	B-10	2,703,827
38		Total income deductions		19,386,059
39		Net income		29,808,516
40				
41		IV. DISPOSITION OF NET INCOME		
42	540	Miscellaneous reservations of net income		-
43	N/A	CA-AM Corporate Allocated Return on Rate Base included in Acct 502		(2,714,386)
44		Balance transferred to Earned Surplus or		
45		Proprietary Accounts on pages 28-29		32,522,901
46				

SCHEDULE A-1
Account 100 - Utility Plant

Line No.	Acct	Title of Account (a)	Balance Beg of Year (b)	Additions During Year (c)	Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
1	100 - 1	Utility plant in service (Schedule A-1a)	849,572,223	43,588,692	(3,777,237)	4,768,335	894,152,014
2	100 - 2	Utility plant leased to others	-	-	-	-	-
3	100 - 3	Construction work in progress	75,788,591	62,654,292	-	(43,699,596)	94,743,287
4	100 - 4	Utility plant held for future use (Sch A-1c)	1,462,195	-	-	-	1,462,195
5	100 - 5	Utility plant acquisition adjustments	3,651,852	-	-	-	3,651,852
6	100 - 6	Utility plant in process of reclassification	-	-	-	-	-
7		Total utility plant	930,474,861	106,242,984	(3,777,237)	(38,931,261)	994,009,348

SCHEDULE A-1a
Account 100.1 - Utility Plant in Service

Line No.	Acct	Title of Account (a)	Balance Beg of Year (b)	Additions During Year (c)	Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
1		I. INTANGIBLE PLANT					
2	301	Organization	163,335	-	-	-	163,335
3	302	Franchises and consents (Schedule A-1b)	418,180	-	-	-	418,180
4	303	Other intangible plant	732,974	-	-	1,600,000	2,332,974
5		Total intangible plant	1,314,489	-	-	1,600,000	2,914,489
6							
7		II. LANDED CAPITAL					
8	306	Land and land rights	6,308,473	272,163	-	173,631	6,754,267
9							
10		III. SOURCE OF SUPPLY PLANT					
11	311	Structures and improvements	10,923,150	1,072,742	(2,111)	-	11,993,781
12	312	Collecting and impounding reservoirs	2,435,751	-	-	-	2,435,751
13	313	Lake, river and other intakes	1,020,115	4,121	(1,190)	-	1,023,046
14	314	Springs and tunnels	-	-	-	-	-
15	315	Wells	35,232,374	2,624,396	(22,493)	409,214	38,243,491
16	316	Supply mains	12,522,389	19,937	-	-	12,542,326
17	317	Other source of supply plant	124,290	-	-	-	124,290
18		Total source of supply plant	62,258,070	3,721,196	(25,794)	409,214	66,362,686
19							
20		IV. PUMPING PLANT					
21	321	Structures and improvements	13,314,689	1,167,526	(85,285)	42,917	14,439,847
22	322	Boiler plant equipment	-	-	-	-	-
23	323	Other power production equipment	4,380,278	(232,955)	(85,506)	-	4,061,817
24	324	Pumping equipment	59,834,556	3,893,819	(1,048,015)	128,597	62,808,957
25	325	Other pumping plant	-	-	-	-	-
26		Total pumping plant	77,529,524	4,828,390	(1,218,806)	171,514	81,310,622
27							
28		V. WATER TREATMENT PLANT					
29	331	Structures and improvements	19,078,346	371,291	(33,501)	-	19,416,136
30	332	Water treatment equipment	53,591,537	542,122	(423,322)	53,832	53,764,169
31		Total water treatment plant	72,669,883	913,413	(456,823)	53,832	73,180,305

SCHEDULE A-1a
Account 100.1 - Utility Plant in Service (Continued)

Line No.	Acct	Title of Account (a)	Balance Beg of Year (b)	Additions During Year (c)	Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
32		VI. TRANSMISSION AND DIST. PLANT					
33	341	Structures and improvements	2,305,307	43,063	-	-	2,348,370
34	342	Reservoirs and tanks	67,649,638	9,291,363	(749,896)	716	76,191,821
35	343	Transmission and distribution mains	293,536,348	8,902,869	(191,484)	1,899,892	304,147,625
36	344	Fire mains	151,374	-	-	-	151,374
37	345	Services	107,219,614	4,625,765	(556,587)	246,091	111,534,883
38	346	Meters	36,731,254	3,166,463	(303,788)	3,868	39,597,797
39	347	Meter installations	34,657,331	(12,918)	-	-	34,644,413
40	348	Hydrants	27,270,828	896,748	(116,847)	182,282	28,233,011
41	349	Other transmission and distribution plant	2,140,690	-	-	-	2,140,690
42		Total transmission and distribution plant	571,662,385	26,913,353	(1,918,601)	2,332,849	598,989,986
43							
44		VII. GENERAL PLANT					
45	371	Structures and improvements	9,290,990	1,577,228	(11,748)	1,199	10,857,669
46	372	Office furniture and equipment	25,044,670	3,483,339	(30,489)	-	28,497,521
47	373	Transportation equipment	1,043,504	58,222	(50,810)	-	1,050,916
48	374	Stores equipment	15,953	-	-	-	15,953
49	375	Laboratory equipment	329,344	-	-	-	329,344
50	376	Communication equipment	16,948,175	1,131,024	(57,923)	27,078	18,048,354
51	377	Power operated equipment	1,505,437	69,557	(593)	-	1,574,401
52	378	Tools, shop and garage equipment	1,722,616	53,734	(4,594)	(982)	1,770,774
53	379	Other general plant	1,385,130	567,073	(1,056)	-	1,951,147
54		Total general plant	57,285,821	6,940,178	(157,213)	27,295	64,096,081
55							
56		VIII. UNDISTRIBUTED ITEMS					
57	390	Other tangible property	543,579	-	-	-	543,579
58	391	Utility plant purchased	-	-	-	-	-
59	392	Utility plant sold	-	-	-	-	-
60		Total undistributed items	543,579	-	-	-	543,579
61		Total utility plant in service	849,572,224	43,588,692	(3,777,237)	4,768,335	894,152,015

SCHEDULE A-1b
Account 302 - Franchises and Consents

Line No.	Name of Original Grantor (a)	Date of Grant (b)	Term in Years (c)	Date of Acquisition by Utility (d)	Amount at which Carried in Account ¹ (e)
1	See Addendum				0
2					
3					
4					
5	Total				0

¹ The total should agree with the balance at the end of the year in Account 302 in Schedule A-1a Line 10.

Schedule A-1b

Account 302 - FRANCHISES AND CONSENTS

<u>NAME OF ORIGINAL GRANTOR</u>	<u>DATE OF GRANT</u>	<u>TERM IN YEARS</u>	<u>DATE OF ACQUISITION BY UTILITY</u>
City of Coronado/Constitutional Franchise	Prior to 10/11/1911	Perpetual	
City of San Gabriel Ordinance 515-C.S	1/1/1989	50	1/19/1939
City of San Marino Ordinance 03-1169	9/10/2001	15	9/10/1986
City of San Diego Ordinance 0-19283	6/30/2004	25	11/22/1935
City of Los Angeles Ordinance 179609	4/6/2008	10	6/10/1988
County of Monterey Ordinance 5231	2/14/1963	50	2/14/1963
City of Rosemead Ordinance 96	2/11/2014	25	6/26/1964
City of Seaside Ordinance 317	7/17/2003	25	12/11/1967
County of Ventura Ordinance 4032	1/11/2012	9	3/15/1960
County of Los Angeles Ordinance 2006-0044F	8/12/2006	15	10/21/1981
City of Bradbury Ordinance 258	9/19/1995	Indeterminate	
City of Duarte Ordinance 709	7/12/1994	Indeterminate	
City of Thousand Oaks Ordinance 1461-NS	5/9/2006	15	6/9/2006
Carmel-by-the-Sea Ordinance 93-27	1/1/1994	Indeterminate	
City of Monterey	7/8/1994	25	
City of Del Rey Oaks	12/1/2009	25	
Imperial Beach Ordinance 2015-1152	7/15/2015	25	
City of Pacific Grove	1/1/2008	25	
County of Sacramento	Various	--	Various
Placer County Ordinance 4609-B	10/27/1994	50	
Rancho Cordova Ordinance 53-2006	9/18/2006	15	

California American Water Company
FRANCHISES AND CONSENTS continued

SCHEDULE A-1b

PROPERTY	NAME OF ORIGINAL GRANTOR	DATE OF GRANT	TERM YEARS	DATE OF ACQUISITION BY UTILITY	AMOUNT CARRIED ON ACCOUNT
Arden	Sacramento County	Not Available	Not Available	Not Available	4,162
(P.U.C. Decision # 51527)					
	Sacramento County Ordinance #500 Ordinance #542	July 20, 1955 August 6, 1956	50	July 20, 1955 August 6, 1956	3,850
Parkway	Sacramento County Ordinance #492 Ordinance #713 Ordinance #458 Ordinance #878 Ordinance #489 Ordinance #1223	May 18, 1955 Aug 22, 1960 Sept. 2, 1953 April 28, 1965 April 6, 1955 Feb. 20, 1979	50	May 18, 1955 Aug 22, 1960 Sept. 2, 1953 April 28, 1965 April 6, 1955 Feb. 20, 1979	4,700
Royal Oaks	Sacramento County Ordinance #488	April 6, 1955	5	April 6, 1955	4,206
Lincoln Oaks	Sacramento County Ordinance #499	(1) July 20, 1955		(1) July 20, 1955	
Sunrise	Sacramento County Ordinance #1158 Ordinance #1228 Ordinance #1248 Ordinance #1254	June 16, 1975 May 6, 1980 July 27, 1982 Nov. 2, 1982	50 50 50	June 16, 1975 May 6, 1980 July 27, 1982 Nov. 2, 1982	75 624
Sacramento	Placer County Ordinance #4609-B	Sept. 30, 1994	50	Sept. 30, 1994	6,412
Monterey					27,696
Baldwin Hills	Los Angeles County				25,897
San Marino	Los Angeles County				7,820
Village					63,634
Sacramento	Northridge/Placer				201,874
Sacramento					63,523
Total					414,473 (2)

(1) Amended by: Ordinance #523 - February 15, 1956
Ordinance #540 - July 25, 1956

(2) Does not agree to Schedule A-1a line 10 as Ordinance 486 for \$3,707 has been excluded from this schedule, but not retired as of 12/31/01. This will be retired at a future date.

SCHEDULE A-1c
Account 100.4 - Utility Plant Held for Future Use

Line No.	Description and Location of Property (a)	Date of Acquisition (b)	Approximate Date When Property Will be Placed in Service (c)	Balance End of Year (d)
1	Shopping Center-Lot 13-Village District	N/A	N/A	37,740
2	Dry Creek Land- 2.034 AC-Sacramento	3/16/2004	N/A	281,500
3	Parcel 059 239 050 Well 6A Larkfield	1/1/2004	N/A	1,142,955
4				
5				
6				
7				
8				
9	Total			1,462,195

SCHEDULE A-2
Account 110 - Other Physical Property

Line No.	Name and Description of Property (a)	Book Value End of Year (b)
1	See Addendum- A-Account 110 - NUP Land	1,749,085
2	See Addendum- B-Account 110 - NUP Buildings	104,510
3	Non Utility Plant-NUP -Other	0
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15	Total	1,853,595

California - American Water Company Account Reconciliation
As of December 31, 2016
NUP-Land
Addendum A-Account 110

<u>BU</u>	<u>DESCRIPTION</u>	<u>ASSET ID</u>	<u>Total Amount</u>
055105	Village Well #4 - Land	2652019	45
056005	3415 MISTY MOMING CIRCLE	2658630	34,115
056005	3608 FABERGE	2651682	91
	3805 CONTEMPO	2651683	262
056005	3805 Contempo Dr	2658577	102
056005	4121 ASHGROVE	2651685	153
056005	4234 ALBERTVILLE WAY	2658636	26,345
056005	4908 BUFFWOOD	2651691	110
056005	6389 NAVION WELL SITE	2651680	48
056005	6389 NAVION WELL SITE 2	2651679	48
056005	65TH ST EXPRESSWAY WELL SITE	2651671	45
056005	7721 CMNWEALTH DR WELL SITE	2651693	259
056005	9148 CASTLEBAR	2651684	172
056005	9513 MIRA DEL RIO	2651678	72
056005	9605 ALLEGHENY WELL SITE	2651675	75
056005	9836 BURLINE	2651688	100
054005	Airway Tank Site #2	2652025	1,088
056005	AUBURN WELL SITE	2651690	86
056005	BARRACUDA WELL SITE	2651676	204
056005	Bellingrath Well Site	2651695	251
056005	BLACKHAWK WELL SITE	2651672	46
054005	Ch Tank Site #1, Lower Mt.	2652026	300
056005	CHARDONNAY WELL SITE NO. 5	2651694	115
054005	Del Rey Terrace Tank & PP #28	2652027	40
056005	FLORIN CREEK WATER TRTMT SITE	2658627	232,531
056005	GREENBACK LANE WELL SITE	2651674	40
054005	Harding Well Site Lots	2652028	1,596
056005	HUNTSMAN WELL SITE	2651677	5
056005	Hurley Ave. Well Site Vacant	2651681	182
056005	JEANNE WELL SITE	2651673	345
055005	Work Order Addition	24262134	486,973
055005	Work Order Addition	24262143	464,578
054005	Land & Ld Rights-SS	2653076	1,002
054005	Land & Ld Rights-SS	2653077	2,000
054005	Land & Ld Rights-SS	2653078	330
054005	Land & Ld Rights-SS	2653075	532
054005	Land & Ld Rights-SS	2653074	33,545
054005	Land & Ld Rights-TD	2653079	2,887
053005	LAND OTAY WELL #1	2652035	420
056005	LAND PARCEL	2658635	17,856
056005	LINDA SUE WELL SITE NO. 2	2651669	226
056005	Lot 5 Trct 16128 RICH 1951	2651585	2,609
056005	MAP 1284 34 13 PARCEL 1	2658510	522
056005	MAP 1284 34 29 PARCEL 1	2658517	1,093
056005	MAP 1284 34 50 PARCEL 1	2658499	714
056005	MAP 1284 34 91 PARCEL 1	2658569	10,011
056005	MAP 1284-34-96 PARCEL 2	2658595	438
056105	MAP 58 090 16	2653080	7,597
056005	MILLS STATION WELL SITE	2651686	485
055105	Orbis Well #10 - Land	2652017	240
055105	ORBIS WELL #2 - Land	2651654	240
055105	Orbis Well #4 - Land	2652016	240
055105	Orbis Well #41 - Land	2652018	225
053005	OTAY WATERSHED WATER RIGHTS	2652034	17,725
053005	OTAY WEST END GRANT	2652033	1,280
054005	Palm Well Site	2652031	1,600
054005	Paralta Tank Site	2652029	462
056005	PARCEL EACH	2658613	16,163
056005	PARCEL EACH	2658615	112,875
056005	PARCEL EACH	2658626	22,733
054005	PIERCE WELL SITE 200' X 100' EASEME	9051192	2,310
056005	POMEGRANATE/LA MANCHA	2658637	220,748
053005	RIGHT OF WAY - OTAY WELLS	2652032	399
054005	RIGHTS OF WAY FROM LOS TULARCITOS D	9051199	2,178
055005	TFR TO NUP LOT1-TRACT8900	2653071	3,400
055005	TFR TO NUP LOT6 SAN M PARK	2653072	7,489
055005	TFR TO NUP LOT60-TRACT1798	2653070	4,000
055005	TFR TO NUP SCOTT RES SITE1	2653073	516
056005	UNDESCRIBED	2651670	18
054005	Observation Well Site	104715431	1,455
054005	Pacific Grove Valve House	99194496	100
Grand Total			1,749,085

California - American Water Company Account Reconciliation
As of December 31, 2016
NUP-Buildings
Addendum B-Account 110

<u>BU</u>	<u>DESCRIPTION</u>	<u>ASSET ID</u>	<u>Total Amount</u>
	5000 GAL PRESSURE TANK	2651721	903
056005	CASING EACH	2651697	1,430
056005	CONCRETE SAND TRAP	2651720	120
056005	FENCE	2651717	2,280
056005	FENCE	2651710	4,052
056005	FENCE EACH	2651704	152
056005	FENCE EACH	2651700	2,564
056005	FENCE EACH	2651701	1,554
056005	FENCE EACH	2651702	1,566
056005	FENCE EACH	2651703	1,070
056005	FENCE EACH	2651705	33
056005	FENCE EACH	2651709	3,120
056005	FENCE EACH	2651707	1,142
056005	FENCE EACH	2651711	1,433
056005	FENCE EACH	2651712	1,480
056005	FENCE EACH	2651713	7,806
056005	FENCE EACH	2651714	1,818
056005	FENCE EACH	2651715	1,329
056005	FENCE EACH	2651716	2,329
056005	FENCE EACH	2651696	712
056005	FENCE EACH	2651718	3,333
056005	GATE ONLY	2651706	606
056005	GATE ONLY	2651708	874
056005	Structures & Improvements	2651719	61,911
056005	UNIDENTIFIED	2651698	893
	Grand Total		104,510

**SCHEDULE A-1d
RATE BASE AND WORKING CASH**

Line No.	Acct.	Title of Account (a)	Balance 12/31/2016 (c)	Balance 1/1/2016 (d)
		RATE BASE		
1		Utility Plant		
2		Plant in Service	868,227,573	828,430,906
3		Construction Work in Progress*	28,109,655	18,232,188
4		General Office Prorate	-	0
5		Total Gross Plant (=Line 2 + Line 3 + Line 4)	896,337,228	846,663,094
6		Less Accumulated Depreciation		
7		Plant in Service	303,882,929	287,805,558
8		General Office Prorate	-	
9		Total Accumulated Depreciation (=Line 7 + Line 8)	303,882,929	287,805,558
10		Less Other Reserves		
11		Deferred Income Taxes	92,783,916	60,873,768
12		Deferred Investment Tax Credit	446,696	523,210
13		Other Reserves	297,777	385,755
14		Total Other Reserves (=Line 11 + Line 12 + Line 13)	93,528,388	61,782,734
15		Less Adjustments		
16		Contributions in Aid of Construction	60,494,859	60,695,507
17		Contributions in Aid of Construction (20 year amortization)	2,123,700	2,548,200
18		Advances for Construction	18,662,260	17,666,747
19		Advances for Construction (20 year amortization)	6,306,400	7,567,700
20		Other	-	-
21		Total Adjustments (=Line 16 + Line 17 + Line 18)	87,587,219	88,478,153
22		Add Materials and Supplies	844,636	742,821
23		Add Working Cash (=Line 34)	23,647,513	22,518,545
24		TOTAL RATE BASE		
25		(=Line 5 - Line 9 - Line 14 - Line 19 + Line 20 + Line 21)	435,830,840	431,858,015

Working Cash				
26		Determination of Operational Cash Requirement		
27		Operating Expenses, Excluding Taxes, Depreciation & Uncollectible	117,483,346	112,050,344
28		Purchased Power & Commodity for Resale*	5,591,781	5,474,274
29		Meter Revenues: Bimonthly Billing	156,602,775	156,213,835
30		Other Revenues: Flat Rate Monthly Billing	2,951,446	3,149,590
31		Total Revenues (=Line 27 + Line 28)	159,554,221	159,363,425
32		Ratio - Flat Rate to Total Revenues (=Line 28 / Line 29)	1.85%	1.98%
33		5/24 x Line 25 x (100% - Line 30)	24,022,944	22,882,464
34		1/24 x Line 25 x Line 30	90,551	92,271
35		1/12 x Line 26	465,982	456,190
36		Operational Cash Requirement (=Line 31 + Line 32 - Line 33)	23,647,513	22,518,545
		* Electric power, gas or other fuel purchased for pumping and/or purchased commodity for resale billed after receipt (metered).		

SCHEDULE A-3

Accounts 250 to 253, Inclusive - Depreciation and Amortization Reserves

Line No.	Item (a)	Account 250 Utility Plant (b)	Account 251 Limited-Term Utility Investments (c)	Account 252 Utility Plant Acquisition Adjustments (d)	Account 253 Other Property (e)
1	Balance in reserves at beginning of year	291,019,917	12,333	1,976,137	68,625
2	Add: Credits to reserves during year				
3	(a) Charged to Account 503, 504, 505 ⁽¹⁾	18,125,063	1,000	106,190	1,566
4	(b) Charged to Account 265	1,907,231			
5	(c) Charged to clearing accounts				
6	(d) Salvage recovered	72,971			
7	(e) All other credits ⁽²⁾	953,131			-
8	Total credits	21,058,396	1,000	106,190	1,566
9	Deduct: Debits to reserves during year				
10	(a) Book cost of property retired	3,777,237			
11	(b) Cost of removal	3,229,464			
12	(c) All other debits ⁽³⁾	(3,473,734)			-
13	Total debits	3,532,967	-	-	-
14	Balance in reserve at end of year	308,545,346	13,333	2,082,327	70,191
15					
16	(1) COMPOSITE DEPRECIATION RATE USED FOR STRAIGHT LINE REMAINING LIFE:				2.67%
17					
18	(2) EXPLANATION OF ALL OTHER CREDITS: See district reports for details.				
26					
27	(3) EXPLANATION OF ALL OTHER DEBITS: See district reports for details.				
34					
35	METHOD USED TO COMPUTE INCOME TAX DEPRECIATION:				
36	(a) Straight Line	()		(X) Village, Orbis, Pollack, Pre 1970	
37	(b) Liberalized	()	()		
38	(1) Double declining balance	()		(X) On Additions from 4-1-66 through 1970	
39	(2) ACRS	()	()		
40	(3) MACRS	()	()		
41	(4) Others	()		(X) 150% DBM on property acquired 4-1-66	
42	(c) Both straight line and liberalized	()		(X) ADR on Additions 1971 through 1980	
43				(X) ACRS on Additions 1981 through 1986	
44				(X) MACRS on Additions after 1986	

SCHEDULE A-3a
Account 250 - Analysis of Entries in Depreciation Reserve

(This schedule is to be completed if records are maintained showing depreciation reserve by plant accounts)

Line No.	Acct.	DEPRECIABLE PLANT (a)	Balance Beginning of Year (b)	Credits to Reserve During Year Excl. Salvage (c)	Debits to Reserves During Year Excl. Cost Removal (d)	Salvage and Cost of Removal Net (Dr.) or Cr. (e)	Balance End of Year (f)
1		I. SOURCE OF SUPPLY PLANT					
2	311	Structures and improvements	1,187,369	308,489	(2,111)	(48,710)	1,445,037
3	312	Collecting and impounding reservoirs	1,475,070	137,690	-	-	1,612,760
4	313	Lake, river and other intakes	393,453	32,653	(1,190)	-	424,916
5	314	Springs and tunnels	-	-	-	-	-
6	315	Wells	14,481,209	1,520,277	(22,494)	(21,325)	15,957,667
7	316	Supply mains	2,691,511	259,227	-	(192)	2,950,546
8	317	Other source of supply plant	80,444	4,827	-	-	85,271
9		Total source of supply plant	20,309,055	2,263,163	(25,795)	(70,227)	22,476,196
10							
11		II. PUMPING PLANT					
12	321	Structures and improvements	3,087,571	294,651	(85,285)	(145,557)	3,151,380
13	322	Boiler plant equipment	-	-	-	-	-
14	323	Other power production equipment	1,225,168	167,061	(85,506)	(11,976)	1,294,747
15	324	Pumping equipment	23,072,969	2,433,088	(1,048,015)	(442,001)	24,016,041
16	325	Other pumping plant	-	-	-	-	-
17		Total pumping plant	27,385,709	2,894,800	(1,218,806)	(599,534)	28,462,169
18							
19		III. WATER TREATMENT PLANT					
20	331	Structures and improvements	7,679,097	345,580	(33,501)	(18,308)	7,972,868
21	332	Water treatment equipment	21,416,916	1,229,961	(423,322)	(24,233)	22,199,322
22		Total water treatment plant	29,096,013	1,575,541	(456,823)	(42,541)	30,172,190
23							
24		IV. TRANS. AND DIST. PLANT					
25	341	Structures and improvements	213,112	69,194	-	(1,752)	280,554
26	342	Reservoirs and tanks	22,987,075	1,254,675	(749,896)	(189,765)	23,302,089
27	343	Transmission and distribution mains	95,576,442	6,243,359	(191,479)	(366,068)	101,262,254
28	344	Fire mains	(27,713)	2,670	-	-	(25,043)
29	345	Services	42,244,624	2,935,471	(556,588)	(1,383,744)	43,239,763
30	346	Meters	13,494,966	1,846,120	(303,789)	(327,808)	14,709,489
31	347	Meter installations	8,772,776	1,784,941	-	(11,662)	10,546,055
32	348	Hydrants	10,527,424	709,700	(116,847)	(133,922)	10,986,355
33	349	Other transmission and distribution plant	230,254	72,167	-	-	302,421
34		Total trans. and distribution plant	194,018,959	14,918,297	(1,918,599)	(2,414,721)	204,603,936
35							
36		V. GENERAL PLANT					
37	371	Structures and improvements	2,644,177	275,902	(11,748)	(4,145)	2,904,186
38	372	Office furniture and equipment	3,080,546	1,660,871	(30,489)	(27,975)	4,682,953
39	373	Transportation equipment	591,193	15,421	(50,810)	19,560	575,364
40	374	Stores equipment	9,289	355	-	-	9,644
41	375	Laboratory equipment	167,749	12,758	-	-	180,507
42	376	Communication equipment	10,318,121	660,736	(57,924)	(17,804)	10,903,129
43	377	Power operated equipment	1,096,010	27,763	(593)	(228)	1,122,952
44	378	Tools, shop and garage equipment	749,018	54,088	(4,594)	(268)	798,244
45	379	Other general plant	(2,624,811)	83,861	(1,056)	1,387	(2,540,619)
46	390	Other tangible property	4,178,890	15,603	-	-	4,194,493
47	391	Water plant purchased	-	-	-	-	-
48		Total general plant	20,210,181	2,807,358	(157,214)	(29,473)	22,830,852
49		Total	291,019,917	24,459,159	(3,777,237)	(3,156,496)	308,545,343

SCHEDULE A-4
Account 111 - Investments in Associated Companies

Line No.	Class of Security (a)	Name of Issuing Company (b)	Par Value End of Year (c)	Ledger Value End of Year (d)	Rate of Interest (e)	Interest Accrued During Year (f)	Interest and Dividends Received During Year (g)
1		None					
2							
3							
4							
5							
6							
7		Total ¹		0			

1 The total should agree with the balance at the end of the year in Account 111 on page 5.

SCHEDULE A-5
Account 112 - Other Investments

Line No.	Name and Description of Property (a)	Balance End of Year (b)
1	None	
2		
3		
4		
5		
6		
7		
8		
9	Total	0

SCHEDULE A-6
Account 113 - Sinking Funds

Line No.	Name of Fund (a)	Balance Beginning of Year (b)	Additions During Year		Deductions During Year (e)	Balance End of Year (f)
			Principal (c)	Income (d)		
1	None					
2						
3						
4						
5						
6						
7						
8						
9	Total					0

SCHEDULE A-7
Account 114 - Miscellaneous Special Funds

Line No.	Name of Fund (a)	Balance Beginning of Year (b)	Additions During Year		Deductions During Year (e)	Balance End of Year (f)
			Principal (c)	Income (d)		
1	None					
2						
3						
4						
5						
6						
7						
8						
9	Totals	0				0

SCHEDULE A-8
Account 121 - Special Deposits

Line No.	Name of Depository (a)	Purpose of Deposit (b)	Balance End of Year (c)
1			
2	Air Commercial Real Estate Assoc.	CA -Corp Office Security Deposit - unrefunded balance	2,575
3	Selvin Commerical Properties	Village Office Lease	15,913
4	655 WB Operating, LLC	CA -Corp Office Security Deposit	37,445
5	East West Bank	Montgomery Building Lease Deposit	19,992
6	Totals		75,925

SCHEDULE A-9
Account 124 - Notes Receivable

Line No.	Maker (a)	Date of Issue (b)	Date Payable (c)	Balance End of Year (d)	Interest Rate (e)	Interest Accrued During Year (g)	Interest Received During Year (g)
1	None						
2							
3							
4							
5							
6	Totals			0			

SCHEDULE A-10
Account 126 - Receivables from Associated Companies

Line No.	Due from Whom (a)	Amount (b)	Interest Rate (c)	Interest Accrued During Year (d)	Interest Received During Year (e)
1	American Water Capital Corporation	102			
2	American Water Works Service Company	46,138			
3	American Water Works Company	32,575			
4	Miscellaneous Intercompany Clearing	115,296			
5					
	Total	194,111			

SCHEDULE A-11
Account 132 - Prepayments

Line No.	Item (a)	Amount (b)
1	Prepaid Taxes	122,512
2	Prepaid Insurance	113,924
3	Prepaid Other	3,010,717
4		
5		
6	Total	3,247,153

SCHEDULE A-12
Account 133 - Other Current and Accrued Assets

Line No.	Item (a)	Amount (b)
1	Accrued Utility Revenues	6,679,836
2	Deferred Vacation Pay	2,311,509
3	Current State Deferred Tax	-
4	Current Federal Deferred Tax	-
5		
6		
	Total	8,991,345

SCHEDULE A-13
Accounts 140 and 240 - Unamortized Debt Discount and Expense and Unamortized Premium on Debt

1. Report under separate subheadings for Unamortized Debt Discount and Expense and Unamortized Premium or Debt, particulars of discount and expense of premium applicable to each class and series of long-term debt.
2. Show premium amounts in red or by enclosure in parentheses.
3. In column (b) show the principal amount of bonds or other long-term debt originally issued.
4. In column (c) show the discount and expense or premium with respect to the amount of bonds or other long-term debt originally issued.
5. Furnish particulars regarding the treatment of unamortized debt discount and expense or premium, redemption premiums, and redemption expenses associated with issues redeemed during the year, also, date of the Commission's authorization of treatment other than as specified by the Uniform System of Accounts.
6. Set out separately and identify undisposed amounts applicable to issues which were redeemed in prior years.
7. Explain any debits and credits other than amortization debited to Account 531, Amortization of Debt Discount and Expense, or credited to Account 532, Amortization of Premium on Debt-Credit.

Line No.	Designation of long-term debt (a)	Principal amount of securities to which discount and expense, or premium minus expense, relates (b)	Total discount and expense or net Premium (c)	AMORTIZATION PERIOD		Balance beginning of year (f)	Debits during year (g)	Credits during year (h)	Balance end of year (i)
				From- (d)	To- (e)				
1	Allstate Life Ins - 9.71%	6,000,000	101,992	6/19/1990	6/1/2020	25,861		5,852	20,009
2	Allstate Life Ins-9.22%	10,000,000	104,754	6/1/1991	6/1/2021	30,806		5,684	25,122
3	American United Life Ins-6.76%	10,000,000	50,953	12/1/1993	12/1/2023	19,281		2,435	16,846
4	Salkeid & Co - 6.76%	10,000,000	56,021	12/1/1993	12/1/2033	32,462		1,811	30,651
5	State Life & American United Ins-7.33%	10,000,000	255,110	5/1/1996	5/1/2026	112,962		10,929	102,033
6	American Water Capital Corp - 5.52%	10,000,000	40,691	12/21/2006	12/21/2016	3,987		3,987	-
7	American Water Capital Corp - 5.62%	52,300,000	176,610	12/21/2006	12/21/2018	43,934		14,768	29,166
8	American Water Capital Corp - 5.77%	75,700,000	267,484	12/21/2006	12/21/2021	106,798		17,874	88,924
9	American Water Capital Corp- 10%*	35,000,000	1,179,875	12/1/2013	3/1/2024	1,081,681		47,195	1,034,486
10	American Water Capital Corp- 5.25%	35,000,000	713,069	8/18/2010	8/1/2040	584,270		23,764	560,506
11	American Water Capital Corp - 3.85%	25,000,000	210,000	11/20/2013	3/1/2024	166,992		20,424	146,568
12	American Water Capital Corp - 1.60%	25,000,000	14,265	6/27/2014	10/15/2017	7,442		4,323	3,119
13	American Water Capital Corp - 4.30%	30,000,000	314,674	8/13/2015	9/1/2045	310,660		10,471	300,189
14	Revolver Fee		353,900			185,235	43,559	62,683	166,111
15	* Amortization of 10% series is being amortized over life of 3.85% series 2013 bond issuance used to refinance the 10% series. The total deferred expense of \$1,179,875 represents the unamortized balance at time of refinancing of the original deferred amount of \$1,415,996								
16									
17									
18	Totals	334,000,000	3,839,398			2,712,371	43,559	232,200	2,523,730

SCHEDULE A-14
Account 141 - Extraordinary Property Losses

Line No.	Description of Property Loss or Damage (a)	Total Amount of Loss (b)	Previously Written off (c)	WRITTEN OFF DURING YEAR		Balance End of year (f)
				Account Charged (d)	Amount (e)	
1	None					
2						
3						
	Total					0

SCHEDULE A-15
Account 146 - Other Deferred Debits

Line No.	Item (a)	Balance End of year (b)
1	See Addendum	276,853,141
2		
3		
4		
5		
6	Total	276,853,141

SCHEDULE A-16
Account 150 - Discount on Capital Stock

1. Report the balance at end of year of discount on capital stock for each class and series of capital stock.
2. If any change occurred during the year in the balance with respect to any class or series of stock, attach a statement giving particulars of the change. State the reason for any charge-off during the year and specify the account charged.

Line No.	Class and Series of Stock (a)	Balance End of year (b)
1	None	
2		
3	Total	0

SCHEDULE A-17
Account 151- Capital Stock Expense

1. Report the balance at end of year of capital stock expense for each class and series of capital stock.
2. If any change occurred during the year in the balance with respect to any class or series of stock, attach a statement giving particulars of the change. State the reason for any charge-off of capital stock expense and specify the account charged.

Line No.	Class and Series of Stock (a)	Balance End of year (b)
1	None	
2		
3	Total	0

California-American Water Company
Addendum to Schedule A-15
12/31/2016

ACCOUNT NO. 146 - OTHER DEFERRED DEBITS

ITEMS	BALANCE
RWIP - Cost of Removal	3,636,535
Reg Asset-AFUDC-Eq-CWIP	1,686,868
Reg Asset-AFUDC-Equity	589,455
Reg Asset- Plt Flow	0
Reg Asset-Other	(185,222)
Reg Asset-St Flow Through	0
Reg Asset-Accum Amortization	(399,714)
Programmed Maintance-Tank Painting	5,370,886
Deferred Service Company Pension	0
Deferred OPEB	162,823
Deferred Pension	(4,694,070)
FAS 112 Costs	116,573
Deferred Consulting Fees - Dunnigan	174,564
Enviromental Remediation Study-NOAA	(649,885)
Carmel River Mitigation	(911,940)
Sobranes Fire - Fuel Reduction	142,029
Cease & Desist Order Memo Account	1,148,647
Closing Costs - Geyserville	34,370
CIAC's Vintage - Method 5	167,272
Low Income Program	3,115,880
Interim Rates	0
Old Monterey Style Water Revenue Adjustment Mechanism (WRAM)	951,620
San Clemente Dam AFUDC	91,291,774
San Clemente Dam Removal Costs	(262,711)
Los Angeles Conservation Charges	0
Funds Restricted for Construction - Garrapata SDWSRF	14,236
Monterey District Conservation Balancing Account	0
WRAM/MCBA	91,958,172
Sacramento VCMRRAM	0
Carmel River Dam	0
Coastal Water Project	3,788,256
Seaside Groundwater Basin	(1,080,665)
Endangered Species Act (ESA)	1,372,236
Phase 1 ASR Project	0
Conservation/Rationing	2,576,671
Other Reg Asset	197,032
GAAP recording of EITF	(6,721,075)
Citizens Acquisition Purchase Premium-Net of Amortization	53,056,822
Preliminary Costs of Financing	0
Deferred Rate Proceedings	0
Low Income Customer Data	0
Deferred Charges - CAC GrossUp	1,098,154
Deferred Charges - CAC DIT	1,170,425
Sand City Desal Plant Pur Wtr Bal Acct	1,442,164
Reg Asset - Leak Adjustments	3,817,839
Reg Asset - Water Action Plan - Memo Acct	75,731
Other Long Term Asset	7,784,010
Authorized Balancing Account	14,817,379
Total	<u><u>276,853,141</u></u>

SCHEDULE A-18
Accounts 200 and 201- Capital Stock

Line No.	Class of Stock (a)	Number of Shares Authorized by Articles of Incorporation (b)	Par Value of Stock Authorized by Articles of Incorporation (c)	Number of Shares Outstanding ¹ (d)	Total Par Value ² Outstanding End of Year (e)	Dividends Declared During Year	
						Rate (f)	Amount (g)
1	Common	2,000,000	0	619,136	92,477,914		0
2							
3							
4							
5							
6	Totals	2,000,000	0	619,136	92,477,914	0	0

¹ After deduction for amount of reacquired stock held by or for the respondent.

² If shares of stock have no par value, show value assigned to stock outstanding.

SCHEDULE A-18a
Record of Stockholders at End of Year

Line No.	COMMON STOCK	Number Shares (b)	PREFERRED STOCK	Number Shares (d)
	Name (a)		Name (c)	
1	American Water Works Co, Inc	619,136	None	0
2				
3				
4				
5				
6				
7				
8				
9	Total number of shares	619,136	Total number of shares	0

SCHEDULE A-19
Account 203 - Premiums and Assessments on Capital Stock

Line No.	Class of Stock (a)	Balance End of Year (b)
1	None	0
2		
3		
4		
5		
6		
7		
8		
9	Total	0

SCHEDULE A-20
Account 270 - Capital Surplus (For use by Corporations only)

Line No.	Item (a)	Amount (b)
1	Balance beginning of year	172,708,816
2	CREDITS (Give nature of each credit and state account charged)	
3	Employee Stock Purchase Program	53,374
4	Restricted Stock Units & Options	253,271
5	Equity Infusion & acquisition of Geyserville	11,415,210
6	Total credits	11,721,855
7	DEBITS (Give nature of each debit and state account credited)	
8	N/A	-
9	Total debits	-
10	Balance end of year	184,430,671

SCHEDULE A-21
Account 271 - Earned Surplus (For use by Corporations only)

Line No.	Acct	Account (a)	Amount (b)
1		Balance beginning of year	60,238,026
2		CREDITS	
3	400	Credit balance transferred from income account	32,522,901
4	401	Change in Monterey Wastewater Retained Earnings	(265,432)
5	401	Change in Dunnigan Wastewater Retained Earnings	2,475
6		Total credits	32,259,945
7		DEBITS	
8	410	Debit balance transferred from income account - Monterey Wastewater	41,457
9	411	Debit balance transferred from income account - Dunnigan Wastewater	30,053
10	411	Dividend appropriations-preferred stock	-
11	412	Dividend appropriations-Common stock	23,347,619
12	413	Miscellaneous reservations of surplus	-
13	414	Miscellaneous credits to surplus (detail) -	
14		Total debits	23,419,129
15		Balance end of year	69,078,842

SCHEDULE A-22
Account 204 - Proprietary Capital
(Sole Proprietor or Partnership)

Line No.	Item (a)	Amount (b)
1	Balance Beginning of year	
2	CREDITS	
3	Net income for year	Schedule
4	Additional investments during year	Not Applicable
5	Other credits (detail)	
6		
7	Total credits	
8	DEBITS	
9	Net loss for year	
10	Withdrawals during year	
11	Other debits (detail)	
12		
13	Total debits	
14	Balance end of year	

SCHEDULE A-23
Account 205 - Undistributed Profits
of Proprietorship or Partnership

(The use of this account is optional)

Line No.	Item (a)	Amount (b)
1	Balance Beginning of year	
2	CREDITS	
3	Net income for year	Schedule
4	Other credits (detail)	Not Applicable
5		
6	Total credits	
7	DEBITS	
8	Net loss for year	
9	Withdrawals during year	
10	Other debits (detail)	
11		
12		
13	Total debits	
14	Balance end of year	

SCHEDULE A-24
Account 210 - Bonds

Line No.	Class of Bond (a)	Date of Issue (b)	Date of Maturity (c)	Principal Amount Authorized (d)	Outstanding ¹ per Balance Sheet (e)	Rate of Interest (f)	Sinking Fund Added in Current Year (g)	Cost of Issuance (h)	Interest Accrued During Year (i)	Interest Paid During Year (j)
1	General Mortgage Bonds	6/1/1990	6/1/2020	6,000,000	6,000,000	9.71%	0	101,992	582,600	582,600
2	General Mortgage Bonds	6/1/1991	6/1/2021	10,000,000	10,000,000	9.22%	0	104,754	922,000	922,000
3	General Mortgage Bonds	12/1/1993	12/1/2023	10,000,000	10,000,000	6.76%	0	50,953	676,000	676,000
4	General Mortgage Bonds	12/1/1993	12/1/2033	10,000,000	10,000,000	6.76%	0	56,021	676,000	676,000
5	General Mortgage Bonds	5/1/1996	5/1/2026	10,000,000	10,000,000	7.33%	0	255,110	733,000	733,000
6	Notes Payable to Affiliate	12/21/2006	12/21/2016	10,000,000	-	5.52%	0	40,691	538,200	552,000
7	Notes Payable to Affiliate	12/21/2006	12/21/2018	52,300,000	52,300,000	5.62%	0	176,610	2,939,260	2,939,260
8	Notes Payable to Affiliate	12/21/2006	12/21/2021	75,700,000	75,700,000	5.77%	0	267,484	4,367,890	4,367,890
9	Notes Payable to Affiliate	6/27/2014	10/15/2017	25,000,000	-	1.60%	0	14,265	400,000	400,000
10	Notes Payable to Affiliate	8/18/2010	8/1/2040	35,000,000	35,000,000	5.25%	0	713,069	1,837,500	1,837,500
11	Notes Payable to Affiliate*	11/20/2013	3/1/2024	25,000,000	25,000,000	3.85%	0	1,389,875	962,500	962,500
12	Debt Discount Related to 3.85% series				(69,537)				9,703	
13	Notes Payable to Affiliate	8/13/2015	9/1/2045	30,000,000	30,000,000	4.30%		314,674	1,290,000	1,354,500
14	Debt Discount Related to 4.30% series				(376,448)				13,267	
15	Notes Payable to Affiliate	12/7/2016	12/21/2021	31,500,000	31,500,000	2.29%		0	46,086	28,053
16	Water Facility Loan - Garrapata	4/1/2012	2/28/2033		99,560	2.50%	0	0	(6,328)	2,569
17										
18	Totals			330,500,000	295,153,575			3,485,498	15,987,678	16,033,872

¹ After deduction for amount of reacquired bonds held by or for the respondent.

* Notes payable to affiliate 3.85% series cost of issuance of \$1,389,875 represents \$1,179,875 for refinanced 10.00% series unamortized amount remaining of the original \$1,415,996 which will be amortized over the life of the refinanced issuance, and \$210,000 the current issuance costs of the 3.85% series.

**CLASS A WATER COMPANIES
SAFE DRINKING WATER BOND ACT DATA**

Please provide the following information relating to each Safe Drinking Water Bond Act (SDWBA) loan outstanding during the 12 month reporting period. (Use one sheet for each loan.)

1. Current Fiscal Agent:

Name: Wells Fargo Corporate Trust Services
 Address: 333 Market Street, San Francisco CA 94105
 Phone Number: 415-371-3400
 Date Hired: September 2010

2. Total surcharge collected from customers during the 12 month reporting period: \$ \$1,460

3. Summary of the trust bank account activities showing:

Balance at beginning of year	\$ 13,306
Deposits during the year	\$ 10,179
Withdrawals made for loan payments	\$ (9,249)
Other withdrawals from this account	\$ 0
Balance at end of year	\$ 14,236

4. Account information:

Bank Name: Wells Fargo
 Account Number: 82295700
 Date Opened: _____

5. Plant amounts included in Schedule A-1a, Account No. 101 -- Water Plant in Service which were funded using SDWBA funds:

Line No.	Acct. No.	Title of Account (a)	Balance Beginning of Year (b)	Plant Additions During Year (c)	Plant Retirements During Year (d)	Other Debits or (Credits) (e)	Balance End of Year (f)
1		NON-DEPRECIABLE PLANT					
2	301	Intangible plant					
3	303	Land					
4		Total non-depreciable plant					
5		DEPRECIABLE PLANT					
6	304	Structures	21,303				21,303
7	307	Wells					
8	311	Pumping equipment					
9	317	Other water source plant	16,502				16,502
10	320	Water treatment plant	124,714				124,714
11	330	Reservoirs, tanks and sandpipes	185,070				185,070
12	331	Water mains	67,713				67,713
13	333	Services and meter installations					
14	334	Meters					
15	335	Hydrants					
16	339	Other equipment					
17	340	Office furniture and equipment					
18	341	Transportation equipment					
19		Total depreciable plant					
20		Total water plant in service	415,302				415,302

SCHEDULE A-25
Account 212 - Advances from Associated Companies

Line No.	Nature of Obligation (a)	Amount of Obligation (b)	Rate of Interest (c)	Interest Accrued During Year (d)	Interest Paid During Year (e)
1					
2	None				
3					
4					
5	Total	0			

SCHEDULE A-26
Account 213 - Miscellaneous Long Term Debt

Line No.	Nature of Obligation (a)	Date of Issue (b)	Date of Maturity (c)	Principal Amount Authorized (d)	Outstanding ¹ Per Balance Sheet (e)	Rate of Interest (f)	Interest Accrued During Year (g)	Interest Paid During Year (h)
1								
2	None							
3								
4								
5								
6								
7								
8	Total				0			

¹ After deduction for amount of reacquired debt held by or for the respondent.

SCHEDULE A-27
Securities Issued or Assumed During Year

Line No.	Class of Security (a)	Commission Authorization (b)	Amount Issued During Year (omit cents) (c)	Discount or Premium (d)	Expenses (e)
1					
2	None				
3					
4					
5	Total				

SCHEDULE A-28
Account 220 - Notes Payable

Line No.	In Favor of (a)	Date of Issue (b)	Date of Maturity (c)	Balance End of Year (d)	Rate of Interest (e)	Interest Accrued During Year (f)	Interest Paid During Year (g)
1	American Water Capital Corporation	None	None	24,500,993	N/A	0	464,587
2							
3							
4							
5							
6							
7	Total			24,500,993			

SCHEDULE A-29
Account 223 - Payables to Associated Companies

Line No.	Nature of Obligation (a)	Balance End of Year (b)	Rate of Interest (c)	Interest Accrued During Year (d)	Interest Paid During Year (e)
1	American Water Works Service Company	534,096	0	0	0
2	American Water Capital Corporation	1,573,782	0	0	0
3	American Water Resources -Protection Programs	-	0	0	0
4	Miscellaneous Intercompany Clearing	4,897,920	0	0	0
5			0	0	0
6			0	0	0
7	Total	7,005,798	0	0	0

SCHEDULE A-30
Account 230 - Other Current and Accrued Liabilities

Line No.	Description (a)	Balance End of Year (b)
1	Accrued Vacation	2,311,509
2	Accrued Purchase Water	3,786,859
3	Accrued Purchase Power	392,606
4	Accrued Legal	48,570
5	Accrued Wages	967,061
6	Accrued Insurance, Retro Insurance Adjustment and Unfunded	1,808,307
7	Accrued Waste Disposal	0
8	Accrued Retire Medical	36,000
9	Accrued DCP Contribution	30,284
10	Accrued Bank Fees	35,615
11	Accrued Severance	143,262
12	Accrued Payroll Withholding & Taxes	32,339
13	Accrued Employee 401K Match	20,939
14	Unclaimed Credits	39,065
15	Unbilled Items	0
16	Collection For Other-Gross Recorded Tax	424,027
17	Collection For Other-Municipal Tax	1,504,355
18	Collection for Others	(2,121)
19	Incentive Plan Cash Annual	2,464,383
20	Accrued Litigation	1,550,000
21	Unclaimed AP Checks	42,315
22	NOAA Short Term	0
23	Other Current Liability Analyzed	(81,283)
24	Unclaimed Wages	0
25	Miscellaneous Deposits Payable	0
26	GRIR Capital Expenditures	535,564
27	Collection For Others Miscellaneous	6,626
28	Collection For PUC Surcharges	462,356
29		
30	Total	16,558,638

SCHEDULE A-31
Account 228 - Accrued and Prepaid Taxes

1. This schedule is intended to give particulars of the combined prepaid and accrued tax accounts and to show the total taxes charged to operations and other accounts during the year. Do not include gasoline and other sales taxes which have been charged to the accounts to which the material on which the tax was levied was charged.
2. Taxes, paid during the year and charged direct to final accounts, that is, not charged to prepaid or accrued taxes, should be included in the schedule. Enter the amounts both in columns (d) and (e). The balancing of the schedule is not affected by the inclusion of these taxes.
3. Taxes charged during the year, column (d), include taxes charged to operations and other accounts through (a) accruals credited to taxes accrued, (b) amounts credited to prepaid taxes for proportions of prepaid taxes chargeable to current year, and (c) taxes paid and charged direct to operations or accounts other than accrued and prepaid tax accounts.
4. If any tax covers more than 1 year, the required information of all columns should be shown separately for each year.
5. Enter all adjustments of the accrued and prepaid tax accounts in column (f) and explain each adjustment. Designate debit adjustments by parentheses.
6. See schedule entitled "TAXES CHARGED DURING YEAR," page 32, for a distribution of taxes charged, column (d) according to utility departments and accounts.
7. Do not include in this schedule entries with respect to deferred income taxes or taxes collected through payroll deductions or otherwise pending transmittal of such taxes to the taxing authority.

Line No.	Kind of Tax (See Instruction 5) (a)	BALANCE BEGINNING OF YEAR		Taxes Charged During Year (d)	Paid During Year (e)	Adjustments (f)	BALANCE END OF YEAR	
		Taxes Accrued (b)	Prepaid Taxes (c)				Taxes Accrued (Account 228) (g)	Prepaid Taxes (Incl. in Acct. 132) (h)
1	Taxes on real and personal property	2,797	-	4,301,600	4,301,600	0	2,797	-
2	Taxes on real and personal property	-	169,051	343,412	348,723	(0)	-	174,362
3	State corporation franchise tax	133,533	-	280,892	221,127	(0)	193,297	-
4	State unemployment insurance tax	3	-	110,612	110,610	(0)	5	-
5	Other state and local taxes	58,312	-	400,346	410,333	(0)	48,324	-
6	Federal unemployment insurance tax	56	-	12,925	12,981	(0)	-	-
7	Fed. ins. contr. act (old age retire.)	167,322	-	1,934,122	1,860,873	(0)	240,571	-
8	Other federal taxes current deferred	-	-	-	-	-	-	-
9	Federal income taxes	(3,710,010)	-	(2,073,028)	(30,169,660)	(27,397)	24,359,225	-
10	State Income taxes	(6,334)	-	(1,971,533)	-	(13,451)	(1,991,318)	-
11	State Income taxes current deferred	-	-	-	-	-	-	-
12	Deferred Taxes	-	-	26,112,068	-	(26,112,068)	-	-
13								
14								
15	Total	(3,354,321)	169,051	29,451,416	(22,903,412)	(26,152,917)	22,852,902	174,362

SCHEDULE A-32
Account 241 - Advances for Construction

Line No.	(a)	(b)	Amount (c)
1	Balance beginning of year		15,948,679
2	Additions during year		873,348
3	Subtotal - Beginning balance plus additions during year		16,822,027
4	Charges during year		
5	Refunds		
6	Percentage of revenue basis		
7	Proportionate cost basis	(45,675)	
8	Present worth basis		
9	Total refunds		(45,675)
10	Transfers to Acct 265 - Contributions in Aid of Construction		
11	Due to expiration of contracts	26,940	
12	Due to present worth discount		
13	Total transfers to Acct. 265		26,940
14	Securities Exchanged for Contracts (enter detail below)		
15	Subtotal - Charges during year		
16	Balance end of year		16,840,762

If stock, bonds, etc., were issued in exchange for construction advance contracts give details below:

Line No.	Type of Security or Other Consideration (Other than Cash) (a)	Dividend or Interest Rate (b)	PUC Decision Number (c)	Amount Issued (d)
17	Common stock			
18	Preferred stock			
19	Bonds			
20	Other (describe)			
21				
22				

SCHEDULE A-33
Account 242 - Other Deferred Credits

Line No.	Item (a)	Balance End of Year (b)
1	See Addendum	146,486,452
2		
3		
4		
5		
	Total	146,486,452

SCHEDULE A-34
Accounts 254 to 258, Inclusive - Miscellaneous Reserves

Line No.	Account (a)	Balance Beginning of Year (b)	DEBITS		CREDITS		Balance End of Year (g)
			Nature of Items (c)	Amount (d)	Account Charged (e)	Amount (f)	
1	254	984,822	Reserve Bad Debt	444,967		593,990	1,133,845
2	255	-					-
3	256	-					-
4	257	-					-
5	258	96,998	FIN 48 Reserve				96,998
6	258	-				-	-
7	Total	1,081,820		444,967		593,990	1,230,843

California-American Water Company
Addendum to Schedule A-33

ACCOUNT NO. 242 - OTHER DEFERRED CREDITS

ITEMS	BALANCE
Def FIT Liability	(114,014,423)
Def SIT-Other	(26,338,222)
Unamortized ITC - 10%	(374,066)
Unamortized ITC - 6%	(67,353)
Reg Liab-Exc Def FIT	(21)
Reg Liab-Deficit Def FIT	14,877
Reg Liab-Exc Def Depr SIT	(964)
Reg Liab-ITC Gross-Up 10%	(186,366)
Reg Liab-ITC Gross-Up 6%	(33,165)
Conservation Surcharge	918,041
MTBE Settlement	(666,667)
Imperial Beach Lease	(98,393)
DCA-Accr Pension Def Benefit	4,911,831
Reg Liab- Pension Tracker	(4,911,831)
DCA-Accr OPEB	(294,504)
DCA-Accr OPEB Med Subsidy	(609,888)
MPWMD Conservation	(1,048,689)
DCA-FAS 112 Costs	(116,573)
Accr Div Equivalents	(32,575)
Reg Liab-CAC CP	(1,137,202)
Deferred Revenue - CAC	(113,643)
DCA-Def Rev CIAC	(57,559)
DCA-Def Rev CIAC FIT	(53,034)
DCA-Defined Compensation Plan	(3,026)
DCA-Tax Gross-Up AIC	(1,183,549)
DCA-Tax Gross-Up AIC FIT/SIT	24,768
DCA-Tax Gross-Up AIC SIT	33
Reg Liab-Affiliate Transfer Fee/Los Padres Dam Study	(629,780)
Reg Liability - Vintage CIAC's	(233,545)
DCN-Adv Pay & Dep Othe	(150,964)
Total Other Deferred Credits	(146,486,452)

SCHEDULE A-35
Account 265 - Contributions in Aid of Construction

Instructions for Preparation of Schedule of Contributions in Aid of Construction:

¹ The credit balance in the account other than that portion of the balance relating to nondepreciable property (column d), to property retired prior to January 1, 1955 (column e), and to the estimated amount of depreciation accrued to January 1, 1955 (column f), shall be written off through charges to this account and credits to Account 250 - Reserve for Depreciation of Utility Plant over a period equal to the estimated service life of the property involved. Upon retirement of depreciable property for which a depreciation reserve has been created through charges to this account, the cost thereof shall be credited to the appropriate plant account and concurrently charged to Account 250. If the property is retired prior to the service life originally estimated, the balance in this account with respect to the retired property shall be transferred to the depreciation reserve account.

² That portion of the balance applicable to nondepreciable property shall remain unchanged until the property is sold or otherwise retired. Upon retirement, the cost of such nondepreciable property acquired by donation or through use of donated funds shall be credited to the appropriate plant account and charged to this account to clear the credit balance carried herein.

³ That portion of the balance representing donations on property retired prior to January 1, 1955 (column e), and the amount of depreciation accrued to January 1, 1955, on property in service (column f), shall not be transferred from this account or otherwise disposed of without first receiving written authorization from the Commission.

Line No.	Item (a)	Total All Columns (b)	Subject to Amortization		Not Subject to Amortization	
			Property in Service After Dec. 31, 1954		Property Retired Before Jan. 1, 1955 (e)	Depreciation Accrued through Dec. 31, 1954 on Property in Service at Dec. 31, 1954 (f)
			Depreciable (c)	Non-Depreciable (d)		
1	Balance beginning of year	60,808,360	60,573,097	235,263		
2	Add: Credits to account during year					
3	Contributions received during year	1,905,921	1,905,921			
4	Other credits*	0	0			
5	Total credits	1,905,921	1,905,921			
6	Deduct: Debits to account during year					
7	Depreciation charges for year	1,907,231	1,907,231			
8	Nondepreciable donated property retired	0				
9	Other debits*	0				
10	Total debits	1,907,231	1,907,231			
11	Balance end of year	60,807,050	60,571,787	235,263		

*Indicate nature of these items and show the accounts affected by the contra entries.

SCHEDULE B-1
Account 501 - Operating Revenues

Line No.	Acct.	ACCOUNT (a)	Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in (Brackets) (d)
1		I. WATER SERVICE REVENUES			
2	601	Metered sales to general customers			
3		601.1 Commercial sales	143,395,385	142,935,004	460,381
4		601.2 Industrial sales	4,263,178	4,133,988	129,190
5		601.3 Sales to public authorities	13,183,007	11,579,991	1,603,016
6		Sub-total	160,841,570	158,648,983	2,192,587
7	602	Unmetered sales to general customers			
8		602.1 Commercial sales	(83)	35,399	(35,482)
9		602.2 Industrial sales	-	-	-
10		602.3 Sales to public authorities	-	-	-
11		Sub-total	(83)	35,399	(35,482)
12	603	Sales to irrigation customers			
13		603.1 Metered sales	-	-	-
14		603.2 Unmetered sales	-	-	-
15		Sub-total	-	-	-
16	604	Private fire protection service	2,845,962	3,157,488	(311,526)
17	605	Public fire protection service	-	-	-
18	606	Sales to other water utilities for resale	3,339	4,967	(1,628)
19	607	Sales to governmental agencies by contracts	-	-	-
20	608	Interdepartmental sales	-	-	-
21	609	Other sales or service	850,989	677,961	173,028
22		Sub-total	3,700,290	3,840,416	(140,126)
23		Total water service revenues	164,541,778	162,524,798	2,016,980
24		II. OTHER WATER REVENUES			
25	611	Miscellaneous service revenues	2,222,904	1,351,259	871,645
26	612	Rent from water property	107,370	94,861	12,509
27	613	Interdepartmental rents	-	-	-
28	614	Other water revenues	42,217,228	33,932,889	8,284,339
29		Total other water revenues	44,547,502	35,379,009	9,168,493
30	501	Total operating revenues	209,089,280	197,903,807	11,185,473

SCHEDULE B-1a
Operating Revenues Apportioned to Cities and Towns

Line No.	Location (a)	Operating Revenues (b)
31	Operations not within incorporated cities ¹	None
32		
33		
34		
35	Operations within incorporated territory	None
36	City or town of	
37	City or town of	
38	City or town of	
39	City or town of	
40	City or town of	
41		
42		
43		
44		

¹ Should be segregated to operating districts.

SCHEDULE B-2

Account 502 - Operating Expenses - For Class A, B, and C Water Utilities

Respondent should use the group of accounts applicable to its class

Line No.	Acct.	Account (a)	Class			Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in [Brackets] (d)
			A	B	C			
1		I. SOURCE OF SUPPLY EXPENSE						
2		Operation						
3	701	Operation supervision and engineering	A	B		-	264	(264)
4	701	Operation supervision, labor and expenses			C	-	-	-
5	702	Operation labor and expenses	A	B		297,805	257,395	40,410
6	703	Miscellaneous expenses	A			1,350,992	1,227,370	123,622
7	704	Purchased water	A	B	C	40,792,841	37,622,333	3,170,508
8		Maintenance						
9	706	Maintenance supervision and engineering	A	B		262	635	(373)
10	706	Maintenance of structures and facilities			C	-	-	-
11	707	Maintenance of structures and improvements	A	B		-	-	-
12	708	Maintenance of collect and impound reservoirs	A			31,232	41,492	(10,260)
13	708	Maintenance of source of supply facilities		B		-	-	-
14	709	Maintenance of lake, river and other intakes	A			-	-	-
15	710	Maintenance of springs and tunnels	A			-	-	-
16	711	Maintenance of wells	A			4,585	7,350	(2,765)
17	712	Maintenance of supply mains	A			-	-	-
18	713	Maintenance of other source of supply plant	A	B		828,149	582,618	245,531
19		Total source of supply expense				43,305,865	39,739,456	3,566,409
20		II. PUMPING EXPENSES						
21		Operation						
22	721	Operation supervision and engineering	A	B		43,974	146	43,828
23	721	Operation supervision labor and expense			C	-	-	-
24	722	Power production labor and expense	A			-	-	-
25	722	Power production labor, expenses and fuel		B		-	-	-
26	723	Fuel for power production	A			-	-	-
27	724	Pumping labor and expenses	A	B		1,270,506	1,214,457	56,049
28	725	Miscellaneous expenses	A			81,003	287,441	(206,438)
29	726	Fuel or power purchased for pumping	A	B	C	5,591,781	5,474,274	117,507
30		Maintenance						
31	729	Maintenance supervision and engineering	A	B		78,278	78,749	(471)
32	729	Maintenance of structures and equipment			C	-	-	-
33	730	Maintenance of structures and improvements	A	B		2,646	6,070	(3,424)
34	731	Maintenance of power production equipment	A	B		92,669	62,093	30,576
35	732	Maintenance of pumping equipment	A	B		-	-	-
36	733	Maintenance of other pumping plant	A	B		251,102	239,444	11,658
37		Total pumping expenses				7,411,959	7,362,674	49,285

SCHEDULE B-2

Account 502 - Operating Expenses - For Class A, B, and C Water Utilities (Continued)

Respondent should use the group of accounts applicable to its class

Line No.	Acct.	Account (a)	Class			Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in [Brackets] (d)
			A	B	C			
38		III. WATER TREATMENT EXPENSES						
39		Operation						
40	741	Operation supervision and engineering	A	B		10,430	9,579	851
41	741	Operation supervision, labor and expenses			C	-	-	-
42	742	Operation labor and expenses	A			1,572,913	1,499,134	73,779
43	743	Miscellaneous expenses	A	B		1,466,076	1,250,095	215,981
44	744	Chemicals and filtering materials	A	B		665,853	643,315	22,538
45		Maintenance						
46	746	Maintenance supervision and engineering	A	B		81,704	61,616	20,088
47	746	Maintenance of structures and equipment			C	-	-	-
48	747	Maintenance of structures and improvements	A	B		-	-	-
49	748	Maintenance of water treatment equipment	A	B		585,847	398,391	187,456
50		Total water treatment expenses				4,382,822	3,862,130	520,692
51		IV. TRANS. AND DIST. EXPENSES						
52		Operation						
53	751	Operation supervision and engineering	A	B		1,115,573	1,138,061	(22,488)
54	751	Operation supervision, labor and expenses			C	-	-	-
55	752	Storage facilities expenses	A			64,154	58,893	5,261
56	752	Operation labor and expenses		B		-	-	-
57	753	Transmission and distribution lines expenses	A			1,280	2,878	(1,598)
58	754	Meter expenses	A			87,178	107,185	(20,007)
59	755	Customer installations expenses	A			97,142	123,037	(25,895)
60	756	Miscellaneous expenses	A			1,752,560	1,466,144	286,416
61		Maintenance						
62	758	Maintenance supervision and engineering	A	B		23,712	44,059	(20,347)
63	758	Maintenance of structures and plant			C	-	-	-
64	759	Maintenance of structures and improvements	A	B		256	250	6
65	760	Maintenance of reservoirs and tanks	A	B		51,493	46,117	5,376
66	761	Maintenance of trans. and distribution mains	A			1,078,609	864,926	213,683
67	761	Maintenance of mains		B		-	-	-
68	762	Maintenance of fire mains	A			-	579	(579)
69	763	Maintenance of services	A			1,134,798	1,150,312	(15,514)
70	763	Maintenance of other trans. and distribution plant		B		-	-	-
71	764	Maintenance of meters	A			49,328	74,986	(25,658)
72	765	Maintenance of hydrants	A			59,968	108,256	(48,288)
73	766	Maintenance of miscellaneous plant	A			3,047,780	2,606,376	441,404
74		Total transmission and distribution expenses				8,563,832	7,792,060	771,773

SCHEDULE B-2

Account 502 - Operating Expenses - For Class A, B, and C Water Utilities (Continued)

Respondent should use the group of accounts applicable to its class

Line No.	Acct.	Account (a)	Class			Amount Current Year (b)	Amount Preceding Year (c)	Net Change During Year Show Decrease in [Brackets] (d)
			A	B	C			
75		V. CUSTOMER ACCOUNT EXPENSES						
76		Operation						
77	771	Supervision	A	B		9,866	7,743	2,123
78	771	Superv., meter read., other customer acct expenses			C	-	-	-
79	772	Meter reading expenses	A	B		1,316,960	1,185,640	131,320
80	773	Customer records and collection expenses	A			826,631	839,934	(13,303)
81	773	Customer records and accounts expenses		B		-	-	-
82	774	Miscellaneous customer accounts expenses	A			31,996	32,497	(501)
83	775	Uncollectible accounts	A	B	C	-	3,718,023	(3,718,023)
84		Total customer account expenses				2,185,453	5,783,837	(3,598,384)
85		VI. SALES EXPENSES						
86		Operation						
87	781	Supervision	A	B		-	-	-
88	781	Sales expenses			C	-	-	-
89	782	Demonstrating and selling expenses	A			-	-	-
90	783	Advertising expenses	A			-	-	-
91	784	Miscellaneous sales expenses	A			-	-	-
92	785	Merchandising, jobbing and contract work	A			-	-	-
93		Total sales expenses				-	-	-
94		VII. ADMIN. AND GENERAL EXPENSES						
95		Operation						
96	791	Administrative and general salaries	A	B	C	5,271,952	5,306,805	(34,853)
97	792	Office supplies and other expenses	A	B	C	93,352	99,731	(6,379)
98	793	Property insurance	A			19,400	2,182	17,218
99	793	Property insurance, injuries and damages		B	C	-	-	-
100	794	Injuries and damages	A			1,822,290	214,133	1,608,157
101	795	Employees' pensions and benefits	A	B	C	4,134,691	4,091,735	42,956
102	796	Franchise requirements	A	B	C	-	-	-
103	797	Regulatory commission expenses	A	B	C	260,342	14,500	245,842
104	798	Outside services employed	A			1,198,078	(15,012)	1,213,090
105	798	Miscellaneous other general expenses		B		-	-	-
106	798	Miscellaneous other general operation expenses			C	-	-	-
107	799	Miscellaneous general expenses	A			6,793,271	6,161,206	632,065
108		Maintenance						
109	805	Maintenance of general plant	A	B	C	159,815	131,562	28,252
110		Total administrative and general expenses				19,753,190	16,006,843	3,746,348
111		VIII. MISCELLANEOUS						
112	811	Rents	A	B	C	1,180,958	1,131,675	49,283
113	812	Administrative expenses transferred - Cr. ¹	A	B	C	28,964,143	28,154,929	809,214
114	813	Duplicate charges - Cr.CA-AM Corp Allocated Return on Rate Base ¹	A	B	C	2,714,386	2,797,539	(83,153)
115		Total miscellaneous				32,859,486	32,084,143	775,343
116		Total operating expenses				118,462,608	112,631,143	5,831,465

¹ Amounts reflect allocated general office expenses consistent with methodology employed in the authorized GRC revenue requirement

SCHEDULE B-3
Account 506 - Property Losses Chargeable to Operations

Line No.	Description (a)	Amount
1	Property Loss on Chargeable Operations	-
2		
3		
4		
5		
6		
7		
8	Total	0

SCHEDULE B-4
Account 507 - Taxes Charged During Year

1. This schedule is intended to give the account distribution of total taxes charged to operations and other final accounts during the year.
2. Do not include gasoline and other sales taxes which have been charged to accounts to which the material on which the tax was levied was charged. If the actual or estimated amounts of such taxes are known, they should be shown as a footnote and designated whether estimated or actual amounts.
3. The accounts to which taxes charged were distributed should be shown in columns (c) to (f). Show both the utility department and number of account charged except for taxes capitalized.
4. For any tax which it was necessary to apportion to more than one utility department or account, state in a footnote the basis of apportioning such tax.
5. The total taxes charged as shown in column (b) should agree with the amounts shown by column (d) of schedule entitled "Accrued and Prepaid Taxes," page 24.
6. Do not include in this schedule entries with respect to deferred income taxes, or taxes collected through payroll deductions or otherwise pending transmittal of such taxes to the taxing authority.

Line No.		Total Taxes Charged During Year (b)	DISTRIBUTION OF TAXES CHARGED (Show utility department where applicable and account charged)			
			Water (Account 507) (c)	Nonutility (Account 521) (d)	Other (Account -----) (e)	Capitalized (Omit Account) (f)
1	Taxes on real and personal property	4,645,013	4,644,894		119	
2	State corp. franchise tax	280,892	280,892		-	
3	State unemployment insurance tax	110,612	74,680			35,932
4	Other state and local taxes	400,346	101,363		298,983	
5	Federal unemployment insurance tax	12,925	10,104			2,821
6	Federal insurance contributions act	1,934,122	1,493,005			441,117
7	Other federal taxes	-	-			
8	Federal income tax	(2,073,028)	(2,073,028)		-	
9	State income tax	(1,971,533)	(1,971,533)		-	
10	Deferred	26,112,068	26,112,068			
11						
12						
13						
14	Totals	29,451,416	28,672,445	-	299,101	479,871

SCHEDULE B-5

Reconciliation of Reported Net Income With Taxable Income for Federal Taxes

1. Report hereunder a reconciliation of reported net income for the year with taxable income used in computing Federal income tax accruals and show computation of such tax accruals. The reconciliation shall be submitted even though there is no taxable income for the year. Descriptions should clearly indicate the nature of each reconciling amount.

2. If the utility is a member of a group which files a consolidated Federal tax return, reconcile reported net income with taxable net income as if a separate return were to be filed, indicating, however, inter-company amounts to be eliminated in such consolidated return. State names of group members, tax assigned to each group member, and basis of allocation, assignment, or sharing of the consolidated tax among the group members.

3. Show taxable year if other than calendar year from-----to-----.

Line No.	Particulars (a)	Amount (b)
1	Net income for the year per Schedule B, page 15	
2	Reconciling amounts (list first additional income and unallowable deductions, followed by additional	
3	deductions for non-taxable income):	
4		
5		
6	Federal Tax Return not yet Completed-See Attached Form 7004	
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		
21		
22		
23		
24		
25		
26		
27		
28		
29		
30	Federal tax net income	
31	Computation of tax:	
32		
33		
34		
35	Tax per return	

Application for Automatic Extension of Time To File Certain Business Income Tax, Information, and Other Returns

OMB No. 1545-0233

File a separate application for each return.
Information about Form 7004 and its separate instructions is at www.irs.gov/form7004.

Name	American Water Works Company, Inc & Subs	Identifying number	51-0063696
Print or Type	Number, street, and room or suite no. (if P.O. box, see instructions.) PO Box 5600 ATTN: Income Tax		
	City, town, state, and ZIP code (if a foreign address, enter city, province or state, and country (follow the country's practice for entering postal code)). Cherry Hill, NJ 08034		

Note: File request for extension by the due date of the return for which the extension is granted. See instructions before completing this form.

Part I Automatic Extension for C Corporations With Tax Years Ending December 31. See instructions.

1a Enter the form code for the return listed below that this application is for: 1 2

Application Is For:	Form Code	Application Is For:	Form Code
Form 1120	12	Form 1120-ND (section 4951 taxes)	20
Form 1120-C	34	Form 1120-PC	21
Form 1120-F	15	Form 1120-POL	22
Form 1120-FSC	16	Form 1120-REIT	23
Form 1120-H	17	Form 1120-RIC	24
Form 1120-L	18	Form 1120-SF	26
Form 1120-ND	19		

Part II Automatic Extension for Certain Estates and Trusts. See instructions.

b Enter the form code for the return listed below that this application is for:

Application Is For:	Form Code	Application Is For:	Form Code
Form 1041 (estate other than a bankruptcy estate)	04	Form 1041 (trust)	05

Part III Automatic Extension for Entities Not Using Part I, II, or IV. See instructions.

c Enter the form code for the return listed below that this application is for:

Application Is For:	Form Code	Application Is For:	Form Code
Form 706-GS(D)	01	Form 1120-ND (section 4951 taxes)	20
Form 706-GS(T)	02	Form 1120-PC	21
Form 1041 (bankruptcy estate only)	03	Form 1120-POL	22
Form 1041-N	06	Form 1120-REIT	23
Form 1041-QFT	07	Form 1120-RIC	24
Form 1042	08	Form 1120S	25
Form 1085	09	Form 1120-SF	26
Form 1085-B	10	Form 3520-A	27
Form 1086	11	Form 8612	28
Form 1120	12	Form 8613	29
Form 1120-C	34	Form 8725	30
Form 1120-F	15	Form 8804	31
Form 1120-FSC	16	Form 8831	32
Form 1120-H	17	Form 8878	33
Form 1120-L	18	Form 8924	35
Form 1120-ND	19	Form 8928	36

Part IV Automatic Extension for C Corporations With Tax Years Ending June 30. See instructions.

d Enter the form code for the return listed below that this application is for:

Application Is For:	Form Code	Application Is For:	Form Code
Form 1120	12	Form 1120-ND (section 4951 taxes)	20
Form 1120-C	34	Form 1120-PC	21
Form 1120-F	15	Form 1120-POL	22
Form 1120-FSC	16	Form 1120-REIT	23
Form 1120-H	17	Form 1120-RIC	24
Form 1120-L	18	Form 1120-SF	26
Form 1120-ND	19		

For Privacy Act and Paperwork Reduction Act Notice, see separate instructions. Form **7004** (Rev. 12-2016)

EX0916 3.000

000109 1MC4 04/11/2017 11:42:51 V16-4.3T 51-0063696 13

Form 7004 (Rev. 12-2016) Page **2**

Part V All Filers Must Complete This Part

2 If the organization is a foreign corporation that does not have an office or place of business in the United States, check here

3 If the organization is a corporation and is the common parent of a group that intends to file a consolidated return, check here
If checked, attach a statement listing the name, address, and Employer Identification Number (EIN) for each member covered by this application. See Statement 1

4 If the organization is a corporation or partnership that qualifies under Regulations section 1.6081-5, check here

5a The application is for calendar year 20__ or tax year beginning 01/01, 20 16, and ending 12/31, 20 16

b Short tax year. If this tax year is less than 12 months, check the reason: Initial return Final return
 Change in accounting period Consolidated return to be filed Other (see instructions - attach explanation)

6 Tentative total tax: 6 NONE

7 Total payments and credits (see instructions): 7 NONE

8 Balance due. Subtract line 7 from line 6 (see instructions): 8 NONE

Form **7004** (Rev. 12-2016)

**COMPANIES TO BE INCLUDED IN THE CONSOLIDATED FEDERAL INCOME TAX RETURN
OF AMERICAN WATER WORKS COMPANY, INC. AND AFFILIATED SUBSIDIARIES**

YEAR - 01/01/16-12/31/16

COMPANY	Employer Identification Number
AAET Inc	22-3259128
American Lake Water Company	06-1396121
American Water (USA) Inc	98-0165920
American Water Capital Corp	22-3732448
American Water Enterprises Holding, Inc	76-0605357
American Water Enterprises Inc	22-3169459
American Water Operations and Maintenance Inc	98-0165919
American Water Resources Holdings Inc	27-5107201
American Water Resources of Florida Inc	45-5262240
American Water Resources of Texas Inc	27-5107457
American Water Services CDM Inc	91-1745331
American Water Works Co Inc	51-0063696
American Water Works Service Co Inc	23-1340234
AW Technologies Inc	45-3808303
AWI Inc	47-4426070
Bluefield Valley Water Works Company	66-6022466
California-American Water Company	51-0104148
Cocoa Properties I LLC	27-4218421
Edison Water Company	22-3519296
EMC of St. Charles County LLC	32-0202554
Environmental Disposal Corporation	22-2391983
Environmental Management Corporation	43-1205270
E'town Properties Inc	22-2817018
E'Town Services LLC	42-1533685
Hawaii-American Water Company	99-0108667
Illinois-American Water Company	51-0105894
Indiana-American Water Company	35-0936102
Iowa-American Water Company	42-0735216
Kentucky-American Water Company	61-0485002
Keystone Clearwater Solutions LLC	26-2597715
Laurel Oak Properties Corp	20-1022964
Liberty Water Company	22-3596293
Maryland-American Water Company	52-0265025
Michigan-American Water Company	38-1657784
Missouri-American Water Company	44-0578460
Mt. Ebo Sewage Works Inc	13-3223856
New Jersey-American Water Company	22-1546642
New York-American Water Company	11-1516966
Pennsylvania-American Water Company	25-1008096
SWC Acquisition Company	81-3366842
Tennessee-American Water Company	62-0529095
Thames Water North America Inc	06-1548192
Virginia-American Water Company	54-0119650
West Virginia-American Water Company	55-0307487
American Water Engineering Inc	76-0654501

**Mailing address for all above companies is:
PO Box 5600
ATTN: Income Tax Department
131 Woodcrest Road
Cherry Hill, NJ 08003**

Statement 1

SCHEDULE B-6
Account 521 - Income from Nonutility Operations

Line No.	Description (a)	Revenue (b)	Expenses (c)	Net Income (d)
1	Income from NonUtility Operations			-
2				
3				
4				
5	Totals			-

Account 526 - Miscellaneous Nonoperating Revenue

Line No.	Description (a)	Amount (b)
1	Miscellaneous NonOperating Revenues	3,889,391
2		
3		
4		
5		
6		
7		
8	Totals	3,889,391

SCHEDULE B-8
Account 527 - Nonoperating Revenue Deductions (Dr.)

Line No.	Description (a)	Amount (b)
1	NonOperating Revenues Deduction	(508,923)
2		
3		
4		
5	Total	(508,923)

SCHEDULE B-9
Account 535 - Other Interest Charges

Line No.	Description (a)	Amount (b)
1	Various Interest Charges	462,354
2		
3		
4	Total	462,354

SCHEDULE B-10
Account 538 - Miscellaneous Income Deductions

Line No.	Description (a)	Amount (b)
1	Various Miscellaneous Income Deductions	2,703,827
2		
3		
4		
5	Total	2,703,827

SCHEDULE C-1
Engineering and Management Fees and Expenses, etc., During Year

Line No.	Give the required particulars of all contracts or other agreements in effect in the course of the year between the respondent and any corporation, association, partnership or person covering supervision and/or management of any department of the respondents affairs such as accounting, engineering, financing, construction or operation, and show the payments under such agreements and also the payments for advice and services to a corporation or corporations which directly or indirectly control respondent through stock ownership	
1	Did the respondent have a contract or other agreement with any organization or person covering supervision and/or management of its own affairs during the year?	
	<i>Answer</i> (Yes or No)	Yes
2	Name of each organization or person that was a party to such a contract or agreement	
	American Water Works Service Company	
3	Date of original contract or agreement.	January 1, 1971
4	Date of each supplement or agreement.	September 1, 1989
	Note: File with the report a copy of every contract, agreement, supplement or amendment mentioned above unless a copy of the instrument in due form has been furnished in which case a definite reference to the report of the respondent relative to which it was furnished will suffice.	
5	Amount of compensation paid during the year for supervision or management	Not Applicable
6	To whom paid	Not Applicable
7	Nature of payment (salary, traveling expenses, etc.)	Not Applicable
8	Amounts paid for each class of service	Not Applicable
9	Base for determination of such amounts	Not Applicable
10	Distribution of payments:	
	(a) Charged to operating expenses	12,463,410
	(b) Charged to capital accounts	2,653,279
	(c) Charged to other accounts	-
	Total	15,116,689
11	Distribution of charges to operating expenses by primary accounts.	
	Number and Title of Account	
	Account 798 Outside Services	12,463,410
	Account 799 Miscellaneous Expense	
	Total	12,463,410
12	What relationship, if any, exists between respondent and supervisory and/or managing concerns?	
	American Water Service Co. provides operational functions for all American Water Works subsidiaries including California American Water	

SCHEDULE C-2
Compensation of Individual Proprietor or Partner

Do operating expenses include any charge for owner's compensation in the form of salary or wages, rental allowances, or for the use of a private automobile? (If the word "none" truly states the fact it should be given as the answer to this inquiry.)

Line No.	Nature of Allowance (a)	Account Charged (b)	Amount (c)
1	N/A		
2			
3			
4			
5			
6	Total		

SCHEDULE C-3
Employees and Their Compensation
 (Charged to Account 502 - Operating Expenses - Schedule B-2)

Line No.	Classification (a)	Number at End of Year (b)	Total Salaries and Wages Paid During Year (c)
1	Employees - Source of supply		\$ 333,974
2	Employees - Pumping		\$ 1,485,571
3	Employees - Water treatment		\$ 1,678,184
4	Employees - Transmission and distribution		\$ 3,841,913
5	Employees - Customer account		\$ 1,916,559
6	Employees - Sales		
7	Employees - Administrative		\$ 11,527,917
8	General officers		
9	General office		
10	Totals	275	\$ 20,784,118

SCHEDULE C-4
Record of Accidents During Year

Line No.	Date of Accident (a)	TO PERSONS					TO PROPERTY			
		Employees on Duty		Public ¹		Total Number (f)	Company		Other	
		Killed (b)	Injured (c)	Killed (d)	Injured (e)		Number (g)	Amount (h)	Number (i)	Amount (j)
1	2016	0	12	0	0	12	0	\$ -	78	193,365
2										
3										
4	Totals	0	12	0	0	12	0	0	78	193,365

¹ Accidents to employees not on duty should be included in "Public" accidents

SCHEDULE C-5 Expenditures for Political Purposes

Hereunder report all direct or indirect expenditures incurred or made to elect or defeat a candidate for public office; or to place any measure on the ballot; at any election, or to keep it from being placed on the ballot at any election, or to support or defeat any measure on the ballot; at an election, or to support or defeat any proposed legislation, also name the account or accounts to which the expenditures herein mentioned have been charged. (If the word "none" truly states the fact, it should be given as the answer to this inquiry.)

1	Lobbying Expenses	27,545
2		
3		
4		
5	Total	27,545

SCHEDULE C-6 Loans to Directors, or Officers, or Shareholders

Show hereunder the amount of loans to directors, or officers, or shareholders and the terms and conditions of such loans. Among other things, show the name of each director, or officer, or shareholder, receiving a loan or loans, the amount of each loan, the rate of interest payable on such loan or loans, the maturity date of each loan or loans, the security given and the date when the shareholders authorized each loan. If such authorization was given. (If the word "none" truly states the fact, it should be given as the answer to this inquiry.)

1	NONE
2	
3	
4	
5	
6	

SCHEDULE C-7 Bonuses Paid to Executives & Officers

Show hereunder the amount of bonuses paid to Executives and Officers, both cash and non-cash. List by the name of each Executive or Officer receiving the bonus, the dollar value of that bonus, and a description of the bonus if it is non-cash.

1	Robert MacLean	\$112,368
2	Jeffrey Dana	43,228
3	Richard Svindland	59,870
4	Ian Crooks	53,187
5	Anthony Cerasuolo	60,132
6	Sarah Leeper	66,329
7	Lori Girard	39,385
8	Stacey Fulter	12,872
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		

**SCHEDULE D-1
Sources of Supply and Water Developed**

STREAMS				FLOW IN(unit) ²				Annual Quantities Diverted(Unit) ²	Remarks
Line No.	Diverted into*	From Stream or Creek (Name)	Location of Diversion Point	Priority Right		Diversions			
				Claim	Capacity	Max.	Min.		
1									
2									
3	See each district's support schedule								
4									
5									
WELLS							Annual Quantities Pumped(Unit) ²	Remarks	
Line No.	At Plant (Name or Number)	Location	Number	Dimensions	¹ Depth to Water	Pumping Capacity(Unit) ²			
6									
7									
8	See each district's support schedule								
9									
10									
TUNNELS AND SPRINGS				FLOW IN(Unit) ²			Annual Quantities Used(Unit) ²	Remarks	
Line No.	Designation	Location	Number	Maximum	Minimum				
11									
12									
13	See each district's support schedule								
14									
15									
Purchased Water for Resale									
16	Purchased from								
17	Annual quantities purchased		8,607,280		(Unit chosen) ²		1,000 gallons		
18									
19									

* State ditch, pipe line, reservoir, etc., with name, if any.

¹ Average depth to water surface below ground surface.

² The quantity unit in established use for expressing water stored and used in large amounts is the acre foot, which equals 42,560 cubic feet: in domestic use the thousand gallon or the hundred cubic feet. The rate of flow or discharge in larger amounts is expressed in cubic feet per second, in gallons per minute, in gallons per day, or in the miner's inch. Please be careful to state the unit used.

**SCHEDULE D-2
Description of Storage Facilities**

Line No.	Type	Number	Combined Capacity (Gallons or Acre Feet)	Remarks
1	A. Collecting reservoirs			
2	Concrete	-	-	Gallons
3	Earth	1	578,222,600	Gallons
4	Wood		-	
5	B. Distribution reservoirs			
6	Concrete	24	43,330,000	Gallons
7	Earth	3	3,440,500	Gallons
8	Wood			
9	C. Tanks			
10	Concrete	26	18,564,350	Gallons
11	Metal	7	3,801,000	Gallons
12	Wood & Polyethylene			
13	Steel & Poly Plastic	117	52,677,450	Gallons
14	Totals	178	700,035,900	Gallons

SCHEDULE D-3
Description of Transmission and Distribution Facilities

A. LENGTH OF DITCHES, FLUMES AND LINED CONDUITS IN MILES FOR VARIOUS CAPACITIES
Capacities in Cubic Feet Per Second or Miner's Inches (State Which) _____

Line No.		0 to 5	6 to 10	11 to 20	21 to 30	31 to 40	41 to 50	51 to 75	76 to 100
1	Ditch	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
2	Flume	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
3	Lined conduit	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
4									
5	Total								

A. LENGTH OF DITCHES, FLUMES AND LINED CONDUITS IN MILES FOR VARIOUS CAPACITIES - Concluded
Capacities in Cubic Feet Per Second or Miner's Inches (State Which) _____

Line No.		101 to 200	201 to 300	301 to 400	401 to 500	501 to 750	751 to 1000	Over 1000	Total All Lengths
6	Ditch	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
7	Flume	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
8	Lined conduit	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
9									
10	Total								

B. FOOTAGES OF PIPE BY INSIDE DIAMETERS IN INCHES - NOT INCLUDING SERVICE PIPING

Line No.		1 and under	1 1/2	2	2 1/2	3	4	5	6	8
11	Cast Iron	187	157	17,932	176	6,539	158,468	-	207,668	110,430
12	Cast Iron (cement lined)	178	-	26,670	-	103	170,594	-	271,106	93,198
13	Cement - asbestos	3,507	-	8,793	-	2,104	247,578	2,137	1,746,814	1,774,852
14	Concrete	-	-	77	-	-	-	-	276	-
15	Copper	2,171	1,772	2,262	-	-	-	-	1,366	-
16	PVC	5,522	3,164	25,521	5,195	233	35,759	-	330,110	1,528,038
17	Riveted steel	-	-	-	-	-	-	-	-	-
18	Steel	654	-	6,144	-	278	20,055	-	21,527	5,664
19	Standard screw	-	-	-	-	-	-	-	-	-
20	Welded steel	1,540	102	2,059	-	527	49,026	-	145,857	134,532
21	Brass	2	-	258	9	-	-	-	15	-
22	Other (PE)	-	-	1,110	-	-	839	-	-	-
23	Other (Brick Arch)	-	-	-	-	-	-	-	-	-
24	Other (Ductile Iron)	482	-	2,692	12	3,219	2,419	-	11,611	40,036
25	Other (Galvanized Pipe)	539	970	38,141	1,666	144	221	-	2,214	2,697
26	Other (C900/DIP)	-	-	-	-	-	-	-	-	-
27	Other (unknown)	46,206	3,472	33,415	-	2,220	290,076	2,798	399,715	250,795
28	Other (stainless steel)	-	-	-	-	-	-	-	-	-
29	Other (CLWS)	-	-	-	-	-	-	-	-	-
30	Other (CLCC)	-	-	-	-	-	-	-	-	-
31	Total	60,988	9,637	165,074	7,058	15,367	975,035	4,935	3,138,279	3,940,242

B. FOOTAGES OF PIPE BY INSIDE DIAMETERS IN INCHES - NOT INCLUDING SERVICE PIPING - Concluded

Line No.		10	12	14	16	17 -18	Other Sizes (Specify Sizes)				Total All Sizes
							unknown	20	22-24	30-36	
32	Cast Iron	11,560	62,214	1,261	14,583	-	-	993	1,282	-	593,450
33	Cast Iron (cement lined)	1,008	43,969	-	70,220	139	-	-	1,205	-	678,390
34	Cement - asbestos	606,385	305,326	25,066	76,433	4,541	-	7,160	5,601	2,925	4,819,222
35	Concrete	-	-	-	-	-	-	-	-	-	353
36	Copper	-	-	-	-	-	-	-	-	-	7,571
37	PVC	153,291	423,799	140	29,879	668	-	10,593	3,868	-	2,555,780
38	Riveted steel	-	-	-	-	-	-	-	-	-	-
39	Steel	13,119	25,663	1,994	1,027	644	-	-	1,094	-	97,863
40	Standard screw	-	-	-	-	-	-	-	-	-	-
41	Welded steel	24,370	71,215	11,713	14,084	20,687	-	16,191	29,169	53,972	575,044
42	Brass	-	-	-	-	-	-	-	-	-	284
41	Other (PE)	-	-	-	-	-	-	-	-	-	1,949
42	Other (Brick Arch)	-	-	-	-	-	-	-	-	-	-
43	Other (Ductile Iron)	13,585	73,487	281	116,068	7,146	-	71,116	59,605	47,508	449,267
44	Other (Galvanized Pipe)	37	635	-	-	-	-	-	-	-	47,264
45	Other (C900/DIP)	-	-	-	-	-	-	-	-	-	-
46	Other (unknown)	72,496	111,370	14,757	30,512	8,927	-	3,955	4,868	7,308	1,282,890
47	Other (stainless steel)	-	-	-	-	-	-	-	-	-	-
48	Other (CLWS)	-	-	-	-	-	-	-	-	-	-
49	Other (CLCC)	-	-	-	-	-	-	-	-	-	-
50	Total	895,851	1,117,678	55,212	352,806	42,752	-	110,008	106,692	111,713	11,109,327

**SCHEDULE D-4
Number of Active Service Connections**

Classification	Metered - Dec 31		Flat Rate - Dec 31	
	Prior Year	Current Year	Prior Year	Current Year
Residential	151,358	151,645	214	163
Commercial	15,451	15,845	75	4
Industrial	237	232	1	-
Public authorities	1,672	1,699	-	-
Irrigation	46	34	-	-
Other	110	133	-	-
				-
Subtotal	168,874	169,588	290	167
Private fire connections	-	-	2,976	3,083
Public fire hydrants	-	-	15,050	14,739
Total	168,874	169,588	18,316	17,989

**SCHEDULE D-5
Number of Meters and Services on
Pipe Systems at End of Year**

Size	Meters	Services
5/8 x 3/4"-in.	140,614	-
1/2" -in.	-	-
3/4" -in.	887	87,899
1" -in.	20,656	71,829
1½" -in.	3,966	3,213
2" -in.	5,411	8,261
3" -in.	244	196
4" -in.	220	932
6" -in.	85	376
8" -in.	32	75
10" -in.	2	2
12" -in.	-	3
Other	19	3,151
Total	172,136	175,937

**SCHEDULE D-6
Meter Testing Data**

A. Number of Meters Tested During Year as Prescribed in Section VI of General Order No. 103:	
1. New, after being received . . .	78
2. Used, before repair	691
3. Used, after repair	4
4. Found fast, requiring billing adjustment	118
B. Number of Meters in Service Since Last Test	
1. Ten years or less	125,601
2. More than 10, but less than 15	34,586
3. More than 15 years	13,884

SCHEDULE D-7

Water delivered to Metered Customers by Months and Years in 1000 Gallons (Unit Chosen)¹

Classification of Service	During Current Year							Subtotal
	January	February	March	April	May	June	July	
Residential	900,425	955,601	984,549	1,046,816	1,197,550	1,439,859	1,613,931	8,138,731
Commercial	368,377	341,033	384,634	394,482	456,976	511,087	580,735	3,037,324
Industrial	50,876	53,204	50,557	55,827	55,617	58,043	57,381	381,505
Public authorities	39,851	36,279	58,557	70,532	125,126	158,434	187,689	676,468
Irrigation	0	0	0	0	0	0	0	-
Other (Metered Priv Fire/Resale)	(131,129)	83,153	(59,291)	106,524	19,556	104,205	137,560	260,578
Other	2,889	10,003	9,477	5,924	10,412	14,124	16,075	68,904
Total	1,231,288	1,479,273	1,428,483	1,680,105	1,865,237	2,285,753	2,593,371	4,424,779

Classification of Service	During Current Year						Subtotal	Total	Total Prior Year
	August	September	October	November	December	Total			
Residential	1,697,617	1,686,540	1,547,909	1,139,937	1,094,536	7,166,538	15,305,269	15,232,464	
Commercial	623,616	640,950	599,534	466,642	424,019	2,754,760	5,792,084	5,652,724	
Industrial	62,181	70,341	52,307	58,337	51,448	294,616	676,121	712,572	
Public authorities	243,517	233,969	181,613	105,630	70,218	834,947	1,511,415	1,361,344	
Irrigation	0	0	0	0	0	-	-	0	
Other (Metered Priv Fire/Resale)	32,183	(284,813)	27,214	47,357	(22,553)	(200,612)	59,965	247,789	
Other	15,603	17,063	15,771	11,634	8,391	68,462	137,366	115,979	
Total	2,674,717	2,364,050	2,424,348	1,829,537	1,626,058	10,918,710	23,482,220	23,322,872	

¹ Quantity units to be in hundreds of cubic feet, thousands of gallons, acre-feet, or miner's inch-days.

Total acres irrigated N/A

Total population served 570,365

SCHEDULE D-8 Status With State Board of Public Health

See each District for Schedule D-8

1	Has the State or Local Health Department reviewed the sanitary condition of your water system during the past year?
2	Are you having routine laboratory tests made of water served to your consumers?
3	Do you have a permit from the State Board of Public Health for operation of your water system?
4	Date of permit:
5	If permit is "temporary", what is the expiration date?
6	If you do not hold a permit, has an application been made for such permit?
7	If so, on what date?

SCHEDULE D-9 Statement of Material Financial Interest

Use this space to report the information required by Section 2 of General Order No. 104-A. If no material financial interest existed during the year or contemplated at the end of the year, such fact shall be so stated. If additional space is required, attach a supplementary statement with reference made thereto.

BlackRock, Inc. ("BlackRock") is a holding company that acquired 10.53% of the common stock of American Water
Works Company, Inc, California American Water Company's ("California American Water") parent company, on
December 5, 2012. BlackRock did not acquire or hold the stock for the purpose of or with the effect of changing or
influencing the control of the issuer or in connection with or as a participant in any transaction having that purpose or
effect. Pursuant to the terms set forth in Advice Letter 990-B, California American Water received a limited
and conditional exemption from the affiliate transaction rules in connection with BlackRock's ownership of the shares.
While BlackRock may be covered under Section 2(a) of General Order 104-A, California American Water has no way
of ascertaining the various interests owned by BlackRock that may deem it a person having a material financial interest
in a transaction as defined by Section 2(b). BlackRock has no legal obligation or business reason for providing
California American Water with access to the companies in which BlackRock may be the beneficial owner of securities
having 10% or more of the voting power for purposes of determining whether such entity has engaged in transactions
with the utility. Furthermore, there are no known direct transactions between California American Water and entities
for which BlackRock has material financial interests.

SCHEDULE E-1
Balancing and Memorandum Accounts

Line No.	Description (a)	Authorized by Decision or Resolution No. (b)	Beginning of Year Balance (c)	Offset Revenues (d)	Offset Expenses (e)	Interest (f)	Surcharge (g)	Surcredit (h)	End of Year Balance ¹ (i)
1	Affiliate Transaction Rule IV.D.2 Memorandum Account	D.10-10-019	9,263			1,851			11,114
2	Carmel River Mitigation Program Balancing Account	D. 12-06-020	1,887,096		(3,150,070)	1,015	2,173,899		911,940
3	Catastrophic Event Memorandum Account	Res No. E-3228	-						-
4	Cease and Desist Order Memorandum Account	Res W4824	(495,323)		(649,228)	(4,097)			(1,148,647)
5	Chromium-6 Memorandum Account - Los Angeles	AL 1020 - A	(83,382)		(112,327)	(12,210)			(207,919)
6	Chromium-6 Memorandum Account - Sacramento	AL 1020 - A	(1,236,688)		(6,580,127)	(276,036)			(8,092,851)
7	Coastal Water Project Balancing Account	D06-11-050	1,598,187			64,746	(22,148)		1,640,785
8	Coastal Water Project Memorandum Account	D06-11-050	(7,780,014)		872,333	(77,289)			(6,984,970)
9	Conservation Surcharge Balancing Account - San Diego	D. 12-06-016	(194,123)		(146,093)	(1,486)	164,692		(177,010)
10	Conservation Surcharge Balancing Account - Los Angeles	D. 12-06-016	(178,086)		(158,114)	(1,246)	198,608		(138,839)
11	Conservation Surcharge Balancing Account - Ventura	D. 12-06-016	(17,117)		(299,111)	(530)	251,214		(65,545)
12	Conservation Surcharge Balancing Account - Monterey	D. 12-06-016	(426,925)		(857,405)	(2,331)	734,780		(551,881)
13	Conservation Surcharge Balancing Account - Sacramento	D. 12-06-016	(79,308)		(310,966)	(5,613)	422,472		26,584
14	Conservation Surcharge Balancing Account - Larkfield	D. 12-06-016	621		(14,602)	(131)	27,742		13,630
15	Conservation/Rationing Memorandum Account - San Diego	Res W-4976, AL 1047	(340,572)		(89,935)	(2,123)			(432,630)
16	Conservation/Rationing Memorandum Account - Ventura	Res W-4976, AL 1047	(265,918)		(276,132)	(2,764)			(544,814)
17	Conservation/Rationing Memorandum Account - Los Angeles	Res W-4976, AL 1047	(456,573)		(267,891)	(3,736)			(728,199)
18	Conservation/Rationing Memorandum Account - Monterey Main	Res W-4976, AL 1051	(108,165)		(9,947)	(609)			(118,720)
19	Conservation/Rationing Memorandum Account - Monterey Subsystems	Res W-4976, AL 1049	-		-	-			-
20	Conservation/Rationing Memorandum Account - Larkfield	Res W-4976, AL 1048	(97,987)		(36,939)	(745)			(135,671)
21	Conservation/Rationing Memorandum Account - Sacramento	Res W-4976, AL 1048	(466,930)		(146,569)	(3,142)			(616,641)
22	Consolidated Expense Balancing Account - San Diego	D12-06-016	(929,960)		(181,005)	(3,520)	969,386		(145,100)
23	Consolidated Expense Balancing Account - Los Angeles	D12-06-016	(2,550,809)		54,402	(12,316)	1,020,921		(1,487,802)
24	Consolidated Expense Balancing Account - Larkfield	D12-06-016	(343,867)		(16,448)	(1,811)	104,025		(258,101)
25	Consolidated Expense Balancing Account - Monterey	D12-06-016	(9,575,359)		(2,132,949)	(50,966)	2,942,651		(8,816,622)
26	Consolidated Expense Balancing Account - Monterey WW	D12-06-016	(9,380)		(34,082)	87	-		(43,374)
27	Consolidated Expense Balancing Account - Sacramento	D12-06-016	586,552		(3,094,469)	(8,084)	(1,191,859)		(3,707,860)
28	Consolidated Expense Balancing Account - Toro	D12-06-016	(153,290)		6,006	(784)	38,062		(110,006)
29	Consolidated Expense Balancing Account - Ventura	D12-06-016	(1,362,222)		(213,043)	(5,305)	1,242,081		(338,489)
30	Emergency Rationing Costs Incurred by CAW Memorandum Account	D.09-05-029	-						-
31	Endangered Species Act (ESA) Memorandum Account	D12-06-016	(1,189,144)		(176,549)	(6,543)			(1,372,236)
32	Garrapata Service Area Memorandum/Balancing Accounts	D13-01-033	-						-
33	Garrapata Service Area SDWSRF Loan Repayment Balancing Account	D13-01-033	(13,306)			(930)			(14,237)
34	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account- San Diego	D13-04-019,AL1003&31S	(476,891)						(476,891)
35	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account - Los Angeles	D13-04-019,AL1003&31S	(900,522)						(900,522)
36	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account - Ventura	D13-04-019,AL1003&31S	(330,702)						(330,702)
37	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account - Monterey	D13-04-019,AL1003&31S	(593,885)						(593,885)
38	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account - Monterey WW	D13-04-019,AL1003&31S	(531)						(531)
39	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account - Sacramento	D13-04-019,AL1003&31S	(1,341,611)						(1,341,611)
40	Low-Income Ratepayer Assistance (LIRA) Program Memorandum Account - Larkfield	D13-04-019,AL1003&31S	(67,218)						(67,218)

SCHEDULE E-1
Balancing and Memorandum Accounts

Line No.	Description (a)	Authorized by Decision or Resolution No. (b)	Beginning of Year Balance (c)	Offset Revenues (d)	Offset Expenses (e)	Interest (f)	Surcharge (g)	Surcredit (h)	End of Year Balance ¹ (i)
41	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - San Diego	D15-04-007	(179,482)	(411,987)		(4,231)	368,964		(226,735)
42	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - Los Angeles	D15-04-007	(227,044)	(379,443)		(10,645)	514,183		(102,949)
43	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - Ventura	D15-04-007	23,874	(134,611)		276	432,376		321,915
44	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - Monterey	D15-04-007	72,536	(289,078)		(1,831)	779,912		561,539
45	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - Monterey WW	D15-04-007	17,863	(1,662)		-	7,835		24,036
46	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - Sacramento	D15-04-007	(275,550)	(824,410)		(12,872)	1,106,992		(5,840)
47	Low-Income Ratepayer Assistance (LIRA) Program Balancing Account - Larkfield	D15-04-007	(5,408)	(26,342)		(480)	47,810		15,580
48	Main San Gabriel Groundwater Basin Contamination Memorandum Account	Res W-4930	-						-
49	MPWMD Conservation Balancing Account	D12-06-016	915,839		(129,820)	3,587	278,168		1,067,774
50	NOAA ESA Memorandum Account	AL 929	(1,547,323)		2,204,773	(3,311)	(4,254)		649,885
51	Non-Revenue Water Action Plan Memorandum Account	D 12-06-016	(75,359)			(372)			(75,731)
52	OPEB Balancing Account - San Diego	D12-06-016	(7,991)		(3,880)	(66)			(11,937)
53	OPEB Balancing Account - Monterey	D12-06-016	(43,513)		(22,386)	(357)			(66,256)
54	OPEB Balancing Account - Monterey WW	D12-06-016	(12,616)		(3,573)	(113)			(16,302)
55	OPEB Balancing Account - Toro	D12-06-016	(402)		(226)	(5)			(634)
56	OPEB Balancing Account - Los Angeles	D12-06-016	(23,187)		(9,099)	(237)			(32,524)
57	OPEB Balancing Account - Ventura	D12-06-016	(6,940)		(3,490)	(81)			(10,512)
58	OPEB Balancing Account - Sacramento	D12-06-016	(27,341)		(9,537)	(884)			(37,761)
59	OPEB Balancing Account - Larkfield	D12-06-016	(2,637)		(512)	(51)			(3,200)
60	Pension Balancing Account - San Diego	D12-06-016	466,364		60,146	4,130			530,641
61	Pension Balancing Account - Monterey	D12-06-016	1,644,926		207,001	9,797			1,861,725
62	Pension Balancing Account - Monterey WW	D12-06-016	178,297		5,060	1,540			184,897
63	Pension Balancing Account - Toro	D12-06-016	16,959		2,097	164			19,220
64	Pension Balancing Account - Los Angeles	D12-06-016	637,938		87,169	4,424			729,531
65	Pension Balancing Account - Ventura	D12-06-016	402,247		46,164	3,484			451,895
66	Pension Balancing Account - Sacramento	D12-06-016	848,611		112,591	6,239			967,441
67	Pension Balancing Account - Larkfield	D12-06-016	116,496		16,307	814			133,617
68	San Clemente Dam Balancing Account	D12-06-040	(95,683,636)		7,607,085	3,753,629	(7,398,259)		(91,721,181)
69	Sand City Desalination Plant Purchased Water Balancing Account	D13-04-015	(1,186,221)		(585,957)	(6,528)	336,541		(1,442,164)
70	Seaside Basin Adjudication Balancing Account	D09-07-021	(953,605)		(325)	(2,404)	261,945		(694,390)
71	Seaside Groundwater Basin Balancing Account	D12-06-016	1,184,159		(109,374)	5,881			1,080,665
72	Seaside Groundwater Basin Memorandum Account	D12-06-016	-						-
73	Water Contamination Litigation Expense Memorandum Account	Res W-4925	(290)		290				0
74	West Placer Memorandum Account	D13-10-003	(4,912,884)		(298,063)	(550,153)			(5,761,100)
75	WRAM/MCBA - San Diego	D08-11-023	(179,630)	(3,119,148)	1,195,447	(5,684)	2,117		(2,106,898)
76	WRAM/MCBA - Los Angeles	D08-06-002	(491,206)	(4,478,779)	1,491,321	(12,524)	396,767	(563,952)	(3,658,374)
77	WRAM/MCBA - Ventura	D08-11-023	(4,944,811)	(8,627,743)	3,416,001	(39,748)	3,278,405		(6,917,896)
78	WRAM/MCBA - Monterey2	D09-07-021	(50,724,308)	(16,004,734)	191,305	(292,530)	6,096,523		(60,733,744)
79	WRAM/MCBA - Monterey Toro	D15-04-007	(248,365)	(174,689)	(5,265)	(1,840)	29,222		(400,937)
80	WRAM/MCBA - Monterey Ambler	D09-07-021	(710,072)	(189,461)	(29,992)	(3,977)	129,182		(804,320)
81	WRAM/MCBA - Sacramento	D15-04-007	(9,933,674)	(9,079,273)	991,908	(69,987)	2,010,803		(16,080,223)
82	WRAM/MCBA - Larkfield	D08-11-023	(985,088)	(555,574)	102,452	(5,849)	188,278		(1,255,781)
83	Leak Adjustments Memorandum Account (LAMA)	D12-06-016, AL991	(3,881,237)		82,437	(19,039)			(3,817,839)
84	Low Income Customer Data Sharing Memorandum Account	D11-05-020	(0)						(0)
85	Old Monterey Style WRAM Balancing Account	D12-06-016	(938,390)			(4,207)	(9,024)		(951,620)
86	Purchased Water, Purchased Power, & Pump Tax Balancing Account - Monterey WW	D12-06-016	(78,508)		(93,261)	(768)			(172,536)
87	Purchased Water, Purchased Power, & Pump Tax Balancing Account - Sacramento	D12-06-016	(195,073)						(195,073)
88	Sacramento District VCMRRAM Memorandum Account	AL 1038-A	(3,340,580)		3,335,101	5,479			0
89	Temporary Interest Rate Balancing Account (TIRBA)	D09-05-019	56		(83)	27			0
90	Los Angeles DSIC Balancing Account	Res W-4734-2	575,947		1,741			(577,688)	-
91	Tax Act Memorandum Account	D15-04-07	-						-
92	The Memorandum Account for Environmental Improvement & Compliance Issues for Acquisitions		-						-
93	Dunnigan Consulting Memorandum Account		12,500		(186,647)	(418)			(174,564)
94	Water-Energy Nexus Program Memorandum Account	D15-09-023			(142,029)				(142,029)

Notes:

- 1) Balances are reflected as Over / (Under) Collections
- 2) Includes amounts related to the Unaccounted for Water Incentive Program

Schedule E- 2
Description of Low-Income Rate Assistance Program(s)

For all low income rate assistance programs offered by water utility, provide detailed responses to the following items:

1. Brief description of each low-income rate assistance program provided, by district. This shall include but is not limited to the percent of discount, the dollar amount of discount, what rate is discounted (service charge, quantity, or total bill), qualifying income level, dollar rate increase to remaining customers to pay for this program.

All Districts

All residential domestic and wastewaters low income assistance customers receive a 20% discount on the service charge and the first and second tiered rates.

2. Participation rate for Year 2016 (as a percent of total customers served).
at 12/31/16

San Diego	2.20%
Larkfield	<1%
Los Angeles	2.86%
Monterey	1.87%
Sacramento	4.60%
Ventura	1.00%

3. Detail of balancing or memorandum account authorized to record expenses incurred and revenues collected for low income rate assistance program.

as of December 31, 2016					
	Type of Account	Expenses Incurred	Revenues Lost	Interest Accrued	Net Account
San Diego	B/A		411,987	40,349	452,336
Los Angeles	B/A		379,443	10,645	390,088
Ventura	B/A		134,611	(276)	134,335
Monterey	B/A		289,078	1,831	290,909
Larkfield	B/A		26,342	480	26,822
Sacramento	B/A		824,410	12,872	837,282
TOTAL		\$ -	\$ 2,065,871	\$ 65,901	\$2,131,772

Above amounts represent amounts not yet approved for recovery.

M/A: Memorandum Account

B/A: Balancing Account

Schedule E- 3
Description of Water Conservation Program(s)

For all water conservation programs offered by water utility, provide detailed responses to the following items:

See Attachments for various Districts

1. Brief description of each water conservation program provided, by district. This description shall include but not be limited to the type of program offered (such as provision of low-flow plumbing fixtures, leak detection, leak repair, written water conservation tips, or other similar programs to its customers) and length of time it was offered.
2. Discuss how each water conservation assistance program is funded, for example, through rates charged to all customers, rates charged to customer receiving water conservation assistance, shareholder contribution, community funding, government funding, or other funding method. Explain why this type of funding was used.
3. Cost of each program.
4. The degree of participation in each district by customer group.

Water Conservation Program 2016 Annual Summary Report

California American Water

San Diego County District

Ventura County District

Los Angeles County District

Monterey County District

Sacramento District

Larkfield District

May 2016



CALIFORNIA
AMERICAN WATER

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Introduction

This report describes conservation efforts taken by California American Water Company (“California American Water” or “CAW”) in all its six districts, including: the San Diego County district, Ventura County district, Los Angeles County district, Monterey County district, Sacramento district, and Larkfield district, with additional reporting by the Monterey Peninsula Water Management District (“MPWMD”) on conservation programming in the Monterey County District.

The objectives of this report are:

- To provide a comprehensive, statewide report on California American Water’s conservation programs and activities during the year 2016;
- To provide estimated water savings associated with programs; and
- To document conservation program activity to the extent that is required in Schedule E-3 of the Annual California Public Utilities Commission (“CPUC”) Reports, and Larkfield, Sacramento, and Los Angeles County districts per D.10-06-038, and the general data elements requested by ORA and CPUC in A.10-07-007 and in I.07-01-022 per Decision D. 11-05-004, Conservation OII proceedings.

Regulatory Reporting Requirements

CPUC Annual Report

All districts are required to report on the following four program questions in Schedule E-3 of the CPUC Annual Report:

1. *Description.* Brief description of each water conservation program provided by district. This description shall include but not be limited to the type of program offered (such as provision of low-flow plumbing fixtures, leak detection, leak repair, written water conservation tips, or other similar programs to its customers) and length of time it was offered.
2. *Funding.* Discuss how each water conservation assistance program is funded, for example, through rates charged to all customers, rates charged to customer receiving water conservation assistance, shareholder contribution, community funding, government funding, or other funding method. Explain why this type of funding was used.
3. *Cost.* Cost of each program.
4. *Participation.* The degree of participation in each district by customer group.

Conservation and Low Income Data Tracking per D.11-05-004

Per D.11-05-004, California American Water is required to provide additional data on its water conservation and low income programs. Data as required per Attachment 1 of D.11-05-004 is provided in this report. Data as required per Attachments 2 & 3 of D.11-05-004 is being provided separately to the CPUC as an Information Only Filing (provided as separate files with the CPUC report filing).

Summary

California American Water’s conservation program has continued to grow in 2016 and has expanded its offerings with the addition of new or extended programs.

New Programs in 2016 included customer UHET Toilet parking lot give-away events, Sustainable Landscape retrofit hands-on workshops for customers, Greywater workshops for customers and the provision of Water Use Management Services for non-residential customers. California American Water's conservation team also started to utilize tablet handheld computers to conduct water wise house calls in an effort to increase the number of house calls conducted and speed up the process from survey to finished survey report. 2016 also marked the fifth year of severe drought in California and California American Water timely responded to all State Water Resources Control Board Drought Regulations while intensifying customer outreach and education on drought measures and prohibited water usages. California American Water also established new water waste violation procedures and conducted watering compliance patrols where staff levels allowed for such. California American Water has started to offer the WaterSmart Software program to all residential customers in its Los Angeles and Ventura districts. The tool compares each household's monthly usage to comparable households in the same districts and uses behavioral science to achieve water savings. A new Water/Energy Direct Installation Program for joint Pacific Gas & Electric and California American Water Low Income customers started in Sacramento in late 2015 and was expanded to Monterey and Larkfield in 2016. The program is designed to ultimately provide Water and Energy measures to about 2,000 low income customers in those three districts. The Bluedashboard program that was initiated in 2012 was continued and offered in other districts including Monterey as well. The program monitors monthly water usage of large landscape and commercial customers against their (voluntary) water budgets previously established during a water audit and notifies customers when their monthly usage exceeds their established irrigation budget.

California American Water continued to strengthen its partnerships with water wholesalers such as the City of San Diego, the Upper San Gabriel Valley Municipal Water District, the West Basin Municipal Water District, Calleguas Municipal Water District, Sonoma County Water Agency, and Sacramento's Regional Water Authority ("RWA") in order to participate and partner in joint conservation programs and to offer a greater variety and level of incentives to California American Water customers. This also allowed California American Water's conservation staff to participate in training and education programs offered through these agencies at zero or much reduced costs.

California American Water is also one of six partners collaborating on the Sustainable Landscapes Program as part of San Diego's Integrated Regional Water Management Program. Made possible by a Proposition 84 grant from the Department of Water Resources, this public-private partnership is a collaborative effort by the San Diego County Water Authority, the County of San Diego, City of San Diego, California American Water, Association of Compost Producers, and Surfrider Foundation. The program aims to deliver multiple environmental benefits, such as water savings and reduced pollutants entering local waterways by means of new technical guidelines, educational resources, incentives, technical assistance, and the provision of landscape materials.

Other expanded program offerings in 2016 included the provision of the full range of residential and nonresidential water surveys at no cost to customers, school education programs in all districts except Larkfield, and the comprehensive offering of residential and commercial rebates through in-house rebate programs as well as Metropolitan Water District's commercial and residential rebate program and other local providers. Expanded Rebate offerings in 2016 included new rebates for Pool covers, soil moisture sensors and rain barrels.

The year 2016 marked the second year of the 3 year, 2015-2017, rate case budget cycle.

This report covers conservation budget expenses as authorized in General Rate Case Decision D.15-04-007. Other spending related to the Emergency Drought measures is being captured in other authorized accounts.

Table 1 shows the combined estimated water savings from all districts in 2016

Table 1. 2016 Statewide Summary of Water Savings		
District	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
San Diego	70.9	677.7
Ventura	226.8	2,443.0
Los Angeles	45.1	539.2
Monterey	394.3	1,946.9
Sacramento	117.1	1,171.7
Larkfield	4.5	47.1
Total	858.7	6,825.6

California American Water in 2016 has continued to broaden and expand its existing program offerings to support California American Water customers meeting the drought reduction targets established by the State Water Resources Control Board's adoption of Title 23, California Code of Regulations, Sections 863 through 866. California American Water has implemented various conservation program-, public outreach and rate design modifications to assist and comply with additional water reductions in response to the state drought conditions and Governor Jerry Brown's April 2015 Executive Order, which called for twenty-five percent statewide conservation. One such additional conservation measure is a geospatial analysis pilot program being implemented in Ventura through OmniEarth. The program uses satellite imagery and analytics to cost-effectively identify efficient and inefficient water users so that conservation measures and outreach can be targeted at customers with the greatest water savings potential.

San Diego County District

The programs funded by California American Water's conservation surcharge during 2016 are summarized in Table 2 and described in detail in the narrative that follows.

Table 2. San Diego County District: Conservation Programs									
Name of measure, as listed in Decision or Settlement	Description of measure	Authorized budget 2016	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
BMP 1.1 Conservation Staff	Conservation staffing	31,987	1 Rep	N/A		n/a	n/a	n/a	n/a
BMP 2.1 Public Information programs	Advertising, PSAs, Community Events	12,303	9	n/a	13,646	n/a	n/a	n/a	n/a
BMP 2.2 School Education programs	School education pgm -Miss Smarty Plants	22,667	17	n/a	26,852	n/a	n/a	n/a	n/a
BMP 3 Residential Water Audits	Residential audits (in-house and vendor)	2,050	15	Approx. \$260	10,708	0.04	5	3.4	16.8
BMP 3 Low Flow Fixtures	Conservation devices	5,126	3,818	varies	6,622	varies	5	See table 3 below	See table 3 below
BMP 3 Washing Machine Rebates	Residential rebates by CUWCC and CAW in-house rebates	2,563	23	varies	2,264	0.1075	10	6.5	65.0
High Efficiency Dishwasher Rebate	Residential Dishwasher Rebate		5	varies	685				
BMP 3 Ultra-Low Flow Toilet Program	Residential Toilet Rebates	5,126	30	varies	3,856	0.0425	20	5.7	115.0
BMP 3 HET Direct Installations – Low Income	UHET Give-away event	15,378	0	varies	0	0.0425	20	8.5	170.0
Rain Barrel Rebates	Residential Rain Barrel Rebates		108	varies	\$12,196				
Residential Rebates	Pool Cover Rebates		2	varies	\$250				
BMP 4 CII Rebates	CII Rebates	5,126	370	varies	1,463	0.85/0.1075	10/20	8.9	74.5
CII and Large Landscape Conservation (Audits)	CII & LL Audits	23,580	6	varies	9,887	0.66	5	12.0	60.0
BMP 5 Landscape Upgrade Grant Program		25,630	0		0	Unknown	n/a	n/a	n/a
	CUWCC Membership (BMP 1.1 Wholesaler programs)		n/a	n/a	1,174	n/a	n/a	n/a	n/a

	Turf Rebates (in house)	12,815	4 rebates/ 5,009 sq.ft.	\$2 per sqft	11,521	0.00013/ sqft	10	9.6	95.0
	Weather based Irrigation Controller Rebates		6	varies	480				
Total		164,351			?			54.6	596.3

BMP 1.1 Conservation Coordinator (Staffing)

In 2016, California American Water’s San Diego County District funded one full-time Conservation position. The conservation representative supported the administration of the conservation program by responding to customer inquiries, conducting conservation and water waste violation patrols, staffing public outreach conservation events, tracking equipment inventory, assisting customers with rebate applications, and reaching out to customers to publicize all the programs available to them. The conservation representative also conducted turf removal rebate pre-and post inspections at customer sites. The conservation representative was funded out of the conservation surcharge one-way balancing account.

BMP 2.1 Public Information Program

California American Water’s San Diego District participates in a combination of community events, public meetings, outreach campaigns, bill messaging and inserts to reach out to customers and promote water use efficiency and conservation. In 2016, California American Water held community open house events that included a conservation table providing information about our programs and conservation advice to interested customers. The San Diego County service area sent out four bill inserts and sixteen customer emails in 2016 that focused on water conservation and incentive programs. These provided information on water conservation tips, home water surveys and water conservation products available to customers. California American Water also participated with a conservation booth at the Coronado Fire Department Open House and the Coronado Concert in the park event. In addition, California American Water took part in the Imperial Beach City Open House and the National Night Out in Imperial Beach. California American Water also expanded its internet and digital communications in 2016. A special drought page for its website was continuously updated monthly on water use reductions for each district and a water waste reporting feature was available for customers. Drought and conservation messaging was also increased through the company’s Facebook page and Twitter feed.

Public Outreach and events are funded through California American Water’s conservation surcharge, as well as through general rates collection as part of the operations budget. Those expenses under the conservation surcharge include educational and water saving materials, displays and informative giveaways, conservation related bill inserts and mailers, and special outreach letters to customers on water conservation. Other expenses for events and activities such as event sponsorship, Company booth fees, room fees, etc. are funded under the general operations budget under Community Relations.

BMP 2.2 School Education Program

California American Water’s San Diego County District has developed a partnership with the Conservation Garden at Cuyamaca College, a local nonprofit organization, for students attending schools located in the San Diego County district service area. Students are bused to the garden and receive a lecture and tour of the garden by Pam Meisner (a.k.a. Ms. Smarty-Plants) that outlines basic water conservation principles and specific plant and landscaping

knowledge to reduce outdoor water use. Ms. Smarty Plants also does school assemblies where she hosts a school water conservation assembly usually addressing a number of school grades at one time with a fun, fast paced conservation “presentation”. These events consistently receive excellent survey feedback from both teachers and students. In 2016, there were 17 presentations with a total of 1,147 student participants from Pre-School through 6th grade.



The school education program was funded out of the conservation surcharge one-way balancing account.

BMP 3 Residential Water Audits

California American Water’s-San Diego County District processed 15 surveys that were contracted out in 2016 due to scheduling conflicts or greater demand that could not be handled by in house staff in a timely manner. The contracted out surveys were conducted by WaterWise Consulting Services, Inc., or BlueWatchDog Conservation, Inc. All audits included a detailed assessment of the indoor and outdoor usage, an individualized water budget, recommended monthly irrigation schedule, as well as a comprehensive audit package with applicable water saving devices, (water and energy) rebate application forms, and educational material. All audit data and information is collected and maintained in an online database to allow for easy tracking of water saving opportunities and to obtain a district profile for toilets and other water saving devices.

The costs for the survey vendors were funded out of the conservation surcharge one-way balancing account. Expenses for the conservation devices and materials are included in the Residential Plumbing Retrofit section of this report.

BMP 3 Residential Plumbing Retrofit

California American Water provides customers various water saving devices including showerheads, faucet aerators (kitchen and bathroom), toilet leak detection tablets, garden hose spray nozzles, soil probes, and educational pamphlets. These devices and informative materials are designed to help residential customers upgrade their indoor water use fixtures, identify leaks, and improve outdoor water usage for car washing and irrigation. The devices and material are provided to customers upon request at community events and meetings, office walk-ins, customer call-ins, and through the home water survey program.

The residential plumbing retrofit program was funded out of the conservation surcharge one-way balancing account.

The following devices were purchased or provided to customers in 2016:

Table 3. San Diego County District: BMP 3 & 4 Residential Plumbing Retrofit- Detail							
Name of measure, as listed in Decision or Settlement	# of units bought	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Showerheads	1,010	\$4.72		0.0062	5	10.7	53.6
Kitchen Faucet Aerators	450	\$1.75		0.0017	5	1.1	5.5
Toilet Flappers	250	\$1.88		0.0047	5	2.4	11.8
Tank banks	200	\$1.25		unknown	5	unknown	unknown
Drip Gauge	0	\$0.28		unknown	5	unknown	unknown
Leak Detection tablets	0	\$0.06		0.0007	5	2.1	10.5
Hose Timers	0	\$7.48		unknown	5	unknown	unknown
Shower Timer	0	\$1.69		unknown		unknown	unknown
Water Efficiency Measurer Bag	0	\$0.12		unknown	-	unknown	unknown
Collapsible Bucket	0	\$3.90		unknown	-	unknown	unknown
Shower Pause Valve	0	\$1.94		unknown	-	unknown	unknown
Hose spray nozzle	550	\$3.37		unknown	5	unknown	unknown
Soil Probe	0	\$2.50		unknown	5	unknown	unknown
Total	2,460		\$6,622	-		16.3	81.4

BMP 3 Residential Turf Rebate Program

California American Water's San Diego County District started a residential turf removal rebate program in 2012 and has continued to offer such rebates throughout early 2016 until funds were exhausted for the program. The program offered qualified customers a rebate of up to \$2 per square foot of replaced turf for a maximum of 1,500 square feet per customer. In order to qualify for the program, a customer needed to have a residential water survey completed plus California American Water staff would perform a pre- and post-inspection of the customer's landscaped area to assure compliance with all rebate requirements. A number of requirements had to be met in order to be considered for the rebate. Among such requirements were an operational in ground irrigation system with existing living turf that had been regularly irrigated at the time of application, conversion of the retrofitted area to drip or micro spray irrigation, and the requirement that the retrofitted site had to be maintained for a minimum of 5 years. In 2016, four customers in the San Diego County District qualified for and received a turf replacement rebate totaling 5,009 square feet of turf being removed. The program was funded out of the conservation surcharge one-way balancing account and, in part, through California American Water's Drought Memorandum Account.

BMP 3 – Low Income Direct Install Program

A Joint Water/Energy direct install program with local Energy provider San Diego Gas & Electric is currently scheduled for roll out in the second quarter of 2017.

The program will be funded out of the conservation surcharge one-way balancing account

BMP 3, 4 Residential and Commercial Rebates (California American Water in-house rebates)

California American Water's in-house rebate program is administered by its own staff eliminating any additional costs to the program. Funding for the program comes from the conservation surcharge account. Rebated items for residential customers included high-efficiency clothes washers (HECW's), high-efficiency toilets (HET's), irrigation nozzles, Weather based irrigation controllers, soil moisture sensors, and other; rebated items for commercial customers included HEW's, HET's, high-efficiency urinals (HEU's), pressurized waterbrooms and other. New in 2016 were pool cover rebates and rain barrel rebates.

BMP 4, 5 CII & Large Landscape Audits

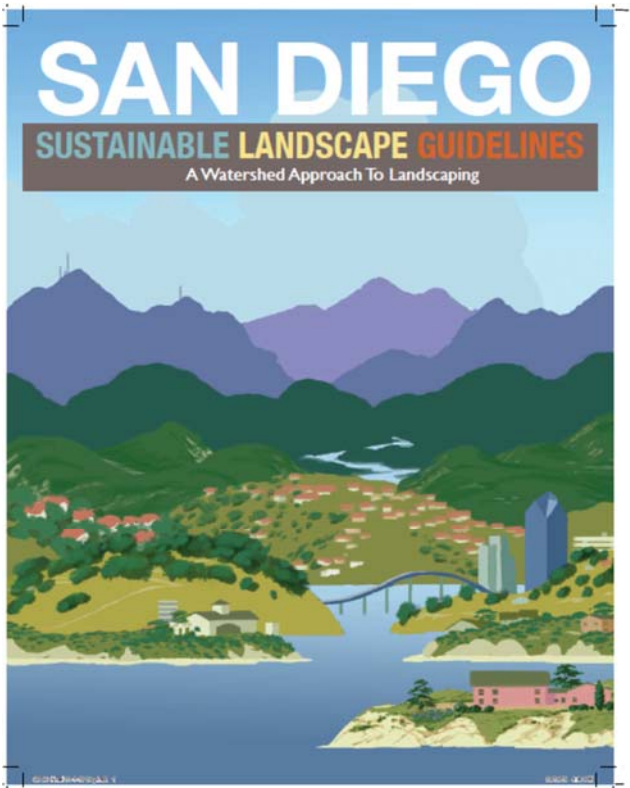
California American Water's San Diego County District offers free CII and large landscape ("LL") audits to non-residential customers. CII audits include a detailed onsite audit evaluating the facility, water use patterns, indoor water use, and summary of recommendations specific to the property. LL audits include a detailed outdoor audit and the creation of a site-specific water budget and irrigation schedule. California American Water has signed agreements with two different vendors that provide CII and LL survey services. The vendors are WaterWise Consulting and BlueWatchDog Conservation. Having a portfolio of vendors allows the Company to best use their individual expertise depending on site and customer requirements. A primary focus in 2016 for CII and LL surveys was to increase survey efficiencies by increasing the number of survey customers that were willing to implement significant retrofits per the survey recommendations. Non-residential survey participants in the past had often been hesitant to implement some of the (often costly) water efficiency or irrigation retrofits recommended in the report. As a result, California American Water worked together with BluewatchDog to develop a web based monitoring tool as a follow up process to surveys. The program, Bluedashboard, is essentially a tracking tool for water usage for both, customer and utility. A (voluntary) water budget is established during a survey reflecting appropriate indoor and/or outdoor water requirements for a customer. The budget is entered into the monitoring tool and monthly post survey water usage is measured against the established budget. If a customer's monthly usage significantly exceeds his budget for that particular month, California American Water's conservation staff or the survey vendor will contact the customer and discuss potential issues regarding the high use. The program has been very successful and has received very positive feedback from participating customers. The program primarily helps with creating a commitment from survey customers to follow up after a survey is conducted and re-evaluate water efficiency practices rather than falling back to the previous status quo of water usage. As an added measure to achieve maximum water savings from surveys, California American Water also changed its "protocol" for the setup of CII and LL surveys; before such survey is conducted, the utility, vendor and customer agree on an in person "kick off" meeting with key staff from all three parties present. The meeting identifies decision makers for retrofit or budget decisions and establishes commitment from the customer to implement some or all of the survey recommendations or, at the minimum, do necessary leak and other repairs, if applicable, to improve efficiency. A similar follow up meeting is scheduled with the same participants after the survey is completed to discuss results and further steps. This approach has proven to be highly effective, has led to a much closer customer-utility partnership for water efficiency improvements, and has further led to some significant capital investments from customers for improved water efficiency measures even beyond survey recommendations. In 2016, San Diego completed 6 CII audits.

The non-residential water audit program was funded out of the conservation surcharge one-way balancing account.

BMP 4, 5 CII & Landscape Upgrade Grant Program

In 2016 California American Water participated in a Sustainable Landscapes Program as part of San Diego's Integrated Regional Water Management Program. The program was made possible by a Proposition 84 grant from the Department of Water Resources. California American Water is one of six partner agencies in this unique public-private partnership and collaborative effort by the San Diego County Water Authority, the County of San Diego, City of San Diego, California American Water, Association of Compost Producers, and Surfrider Foundation. The program will pay

for landscape retrofits that remove turf, eliminate irrigation runoff and establish climate appropriate landscapes for qualifying California American Water customers. A Sustainable Landscape Resource Guide that is available free to all California American Water customers in addition to other benefits of the program. Several customer applications for the program were received and retrofit completion (and incentive payout) is expected to occur in mid 2017.



Sustainable Landscapes Program Partners
 Development of these guidelines was a collaborative effort by the six Sustainable Landscape Program partners identified below:



This guide is intended to be used for general informational purposes, the guide does not take the place of professional advice. Please consult with appropriate landscape professionals for site-specific advice prior to making changes to your landscape or irrigation system.



Made possible by a Safe Drinking Water, Water Quality and Supply, Flood Control, River and Coastal Protection Bond Act of 2006 (Proposition 56) grant administered by the California Department of Water Resources



Ventura County District

The programs funded by California American Water's conservation surcharge during 2016 are summarized in Table 4 and described in detail in the narrative that follows.

Table 4. Ventura County District: Conservation Programs									
Name of measure, as listed in Decision or Settlement	Description of measure	Authorized budget 2016	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
BMP 1.1 Conservation Staff	Conservation staffing	31,987	1 Rep	N/A		n/a	n/a	n/a	n/a
BMP 2.1 Public Information Program	Advertising, PSAs, Community Events	30,756	9	n/a	65,835	n/a	n/a	n/a	n/a
BMP 2.2 School Education Program	School education program by National Theater For Children	16,403	9	varies	14,112	-	n/a	n/a	n/a
BMP 3 Residential Water Audits	Residential audits by WaterWise Consulting and BluewatchDog	12,303	145	Approx. \$260	54,745	0.04	5	5.3	26.4
BMP 3 Low Flow Fixtures	Conservation devices	9,227	1,555	varies	6,248	varies		See table 5 below	See table 5 below
BMP 3 Washing Machine Rebates	Residential rebates by CAW, MWD and CUWCC	2,399	129	varies	2,636	0.1075	10	23.9	239.0
Ultra Low Flow Toilet Program	Rebate	2,563	92	varies	3,785	0.0425	20	16.3	326.4
Pool Cover Rebates	Residential Pool Cover Rebates		32	varies	2,650				
High Efficiency Dishwasher Rebate	Residential Dishwasher Rebate		71	varies	5,850				
Residential Direct Installations Low Income	UHET parking lot event	19,479		varies	15,960	0.0425	20	12.8	255.0
BMP 4,5 CII Rebates	Commercial rebates by California American Water, MWD and CUWCC	15,378	0	varies	(MWD)	varies0		30.2	287.8
CII and Large Landscape Audits	CII and LL audits done by Waterwise, & BWD	30,756	12	varies	69,092	0.66	5	5.3	26.4
Landscape Upgrade Grant Prgrm		79,966	0	varies	0	n/a	n/a	n/a	n/a
BMP 1.1 Wholesaler Programs	CUWCC Membership			n/a	1,174	n/a	n/a	n/a	n/a

Table 4. Ventura County District: Conservation Programs									
Name of measure, as listed in Decision or Settlement	Description of measure	Authorized budget 2016	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
WaterSmart Software Program	Water Use Tracking	10,252	1	n/a	39,599	n/a	n/a	n/a	n/a
	Turf Rebates In house/ MWD	25,630	0 in house 207 MWD sq.ft	\$2 per sqft 359,416 sq.ft	0	0.00013/sqft	10	123.4	1,234.0
Total		287,099			?			217.2	2,395.0

BMP 1.1 Conservation Coordinator (Staffing)

In 2016, California American Water's Ventura County District funded one full-time Conservation Representative position. The conservation representative supported the administration of the conservation program by responding to customer inquiries, conducting conservation and water waste violation patrols, staffing public outreach conservation events, tracking equipment inventory, assisting customers with rebate applications, and reaching out to customers to publicize all the programs available to them. The conservation representative was funded out of the conservation surcharge one-way balancing account

BMP 2.1 Public Information Program

California American Water's Ventura County District participates in a combination of community events, public meetings, outreach campaigns, bill messaging and inserts to reach out to customers and promote water use efficiency and conservation. In 2016 California American Water had a company booth to promote specific conservation programs and educate event attendees at the Amgen Earth Day, Conejo Rec & Park Summer Concert Series and the Thousand Oaks Rotary Club Street Fair. At the booth, customers could receive information on rebates, innovative devices (weather-based irrigation controllers, precision nozzles, etc.), and useful water saving tips for adults and kids. California American Water also held two community open house events regarding the drought surcharge and a conservation table was available that provided information about available programs to interested customers. In addition to the community open house events, the Ventura service area sent five bill inserts and 23 customer emails in 2016 that focused on water conservation, the drought, and incentive programs. These mailers and emails included information on water conservation tips, home water surveys and water conservation products available to customers. California American Water also expanded its internet and digital communications in 2016. A special drought page for its website was continuously updated monthly with current water use reduction figures for each district and a water waste reporting feature. Drought and conservation messaging was also increased through the company's Facebook page and Twitter feed.

Public Outreach and events are funded through California American Water's conservation surcharge, as well as through general rates collection as part of the operations budget. Those expenses under the conservation surcharge include educational and water saving materials, displays and informative giveaways, conservation related bill inserts and mailers, and special outreach letters to customers on water conservation. Other expenses for events and activities such as event sponsorship, Company booth fees, room fees, etc. are funded under the general operations budget under Community Relations.

BMP 2.2 School Education Program

In 2016 the Ventura County District partnered with the National Theater for Children to sponsor performances of “The Water Pirates of Neverland: Search for the Great Green Octopuss, an educational assembly highlighting the importance of water and water conservation. Nine performances reached a total of 2,109 Ventura County students.

The school education program was funded out of the conservation surcharge one-way balancing account.

BMP 3 Residential Water Audits

California American Water’s Ventura County District performed 145 residential water surveys in 2016. Surveys were contracted out and conducted by WaterWise Consulting Services, Inc., or BluewatchDog Conservation, Inc. All audits included a detailed assessment of the indoor and outdoor usage, an individualized water budget, recommended monthly irrigation schedule, as well as a comprehensive audit package with applicable water saving devices, (water and energy) rebate application forms, and educational material. All audit data and information is collected and maintained in an online database to allow for easy tracking of water saving opportunities and to obtain a district profile for toilets and other water saving devices.

The costs for the survey vendors were funded out of the conservation surcharge one-way balancing account. Expenses for the conservation devices and materials are included in the Residential Plumbing Retrofit section of this report.

BMP 3 Residential Plumbing Retrofit

California American Water provides customers various water saving devices including showerheads, faucet aerators (kitchen and bathroom), toilet leak detection tablets, garden hose spray nozzles and automatic hose shutoff timers, soil probes, and educational pamphlets. These devices and informative materials are designed to help residential customers upgrade their indoor water use fixtures, identify leaks, and improve outdoor water usage for car washing and irrigation. The devices and material are provided to customers upon request at community events and meetings, office walk-ins, customer call-ins, and through the home water survey program.

The residential plumbing retrofit program was funded out of the conservation surcharge one-way balancing account.

The following devices were purchased or provided to customers in 2016:

Table 5. Ventura County District: BMP 3 & 4 Residential Plumbing Retrofit- Detail							
Name of measure, as listed in Decision or Settlement	# of units / activities Bought	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Showerheads	0	\$4.72		0.0062	5	5.9	29.5
Faucet Aerators	200	\$0.55		0.0017	5	1.4	6.8
Kitchen Faucet Aerators	200	\$1.75					
Toilet Flappers	150	\$1.88		0.0047	5	1.6	8.2
Tank banks	0	\$1.25		unknown	5	unknown	unknown
Drip Gauge	0	\$0.28		unknown	5	unknown	unknown
Leak Detection tablets	0	\$0.06		0.0007	5	0.7	3.5
Shower Timers	150	\$1.69		unknown	5	unknown	unknown
Measuring Bag	0	\$0.12		unknown	5	unknown	unknown

Table 5. Ventura County District: BMP 3 & 4 Residential Plumbing Retrofit- Detail							
Name of measure, as listed in Decision or Settlement	# of units / activities Bought	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Hose spray nozzle	250	\$3.37		unknown	5	unknown	unknown
Soil Probe	250	\$2.50		unknown	5	unknown	unknown
Dish Squeegee	100	\$1.95		unknown	-	unknown	unknown
Collapsible Bucket	0	\$3.90		unknown	-	unknown	unknown
Hose Timer	0	\$7.48	0	unknown	5	unknown	unknown
Total	1,300		6,248	-		9.6	48.0

BMP 3 Residential Turf Rebate Program

In 2016 all residential turf rebates submitted by Ventura County District customers were processed through the partnership with MWD’s SoCal Water Smart program. 207 such rebates were approved and paid out in 2016 for California American Water customers resulting in 359,416 square feet of turf removed in the Ventura district.

The MWD rebate program is funded in part through its member agencies’ purchased water rates.

BMP 3 – Mulch & Rain Barrel Give Away Program

California American water hosted a mulch/rain barrel give away event for its Ventura customers. Residential customers were notified in advance of the event and informed of the qualification criteria to receive a free rain barrel and mulch. One such qualification criteria was that customers could not have previously received a rebate for a rain barrel through California American Water. Rain barrels were provided on a first come, first serve basis. A total of 133 55 gallon capacity rain barrels and 100 yards of mulch were distributed.



The program was funded out of the conservation surcharge one-way balancing account

BMP 3, 4 Residential and Commercial Rebates (MWD's SoCal Water Smart, California American Water in-house rebates)

In the Ventura County District, rebates in 2016 were provided to customers primarily through MWD's SoCal Water Smart program for residential and commercial customers as well as California American Water's in-house rebate program complementing the rebate offerings from MWD (HET, UHET, HEDW, commercial HECW)). California American Water's in-house rebate program is funded through the conservation surcharge account.

The MWD rebate programs (residential and nonresidential) are funded in part through its member agencies' purchased water rates.

BMP 4, 5 CII & Large Landscape Audits

California American Water's Ventura County District offers free CII and large landscape ("LL") audits to non-residential customers. CII audits include a detailed onsite audit evaluating the facility, water use patterns, indoor water use, and summary of recommendations specific to the property. LL audits include a detailed outdoor audit and the creation of a site-specific water budget and irrigation schedule. As previously mentioned, California American Water partnered with Water Wise, and BluewatchDog Conservation, Inc. to conduct water audits in 2016. A similar approach to setting up surveys was used as described under San Diego County District's section. Survey participants were entered into the Bluedashboard monitoring program. In 2016, Ventura completed 4 LL and 8 CII audits.

The non-residential water audit program was funded out of the conservation surcharge one-way balancing account.

BMP 4, 5 CII & Landscape Upgrade Grant Program

California American Water's Landscape Upgrade Grant Program pays for non-residential landscape retrofit projects that demonstrate waterwise and climate appropriate landscape designs and public demonstration gardens. Cal Lutheran University was awarded funding for such project in 2016. Completion (and funding) of the project is scheduled for early 2017

The funding is provided through the conservation surcharge one-way balancing account.

Los Angeles County District

The programs funded by California American Water's conservation surcharge during 2016 are summarized in Table 6 and described in detail in the narrative that follows.

Table 6. Los Angeles County District: Conservation Programs									
Name of measure, as listed in Decision or Settlement	Description of measure	Authorized budget 2016	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
BMP 1.1 Conservation Staff	Conservation staffing	31,987	1 Rep	N/A		n/a	n/a	n/a	n/a
BMP 2.1 Public Information Program	Advertising, PSAs, Community Events	25,630	14	n/a	5,763	n/a	n/a	n/a	n/a
BMP 2.2 School Education Program	School education program by Resource Action Programs (Livingwise Prgrm) and National Theater for Children	21,529	16	varies	14,663		0	0	0
BMP 3 Residential Water Audits	Residential audits (in-house, WaterWise, and BWD)	10,252	77	Approx. \$260	24,171	0.04	5	3.1	15.6
BMP 3 Residential Plumbing Retrofit	Conservation devices	7,176	3,737	varies	7,163	varies	5	See table 7 below	See table 7 below
BMP 3 Residential HECW Rebates	Residential rebates by CUWCC, MWD & In house	3,076	28	varies	1,709	0.1075	10	3.5	35.0
Residential Toilet Rebate	Residential rebates by CUWCC, MWD & In house	3,076	12	varies	1,168	0.0425	20	2.3	45.1
Pool Cover Rebate	Residential Pool Cover Rebates		8		625				
High Efficiency Dishwasher Rebate	Residential High Efficiency Dishwasher Rebates		23		1,725				
BMP 3 HET Direct Installations - Low-Income	UHET Parking Lot event	20,504	0	\$140	0	0.0425	20	13.0	260.1
CII Rebates & Direct Installations		15,378	0	n/a	0			0	0
CII and Large Landscape Audits	Audits by WaterWise, and BWD	30,756	15	varies	16,598	0.66	5	2.6	13.2
Landscape Upgrade Grant Program		19,315	0	varies	0	unknown	unknown	unknown	unknown

Table 6. Los Angeles County District: Conservation Programs

Name of measure, as listed in Decision or Settlement	Description of measure	Authorized budget 2016	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
WaterSmart Software Program	Water Use Tracking	7,689	1	n/a	42,205	n/a	n/a	n/a	n/a
	Turf Rebates (MWD)	17,941	41	\$2/59,544 sqft	0	0.00013/sqft	10	13.3	133.5
BMP 1.1 Wholesaler Programs	CUWCC Membership		n/a	n/a	1,663	n/a	n/a	n/a	n/a
Total		214,309						37.9	502.9

BMP 1.1 Conservation Coordinator (Staffing)

In 2016, California American Water's Los Angeles County District funded one full-time Conservation Representative position. The conservation representative supported the administration of the conservation program by responding to customer inquiries, conducting conservation and water waste violation patrols, staffing public outreach conservation events, tracking equipment inventory, assisting customers with rebate applications, and reaching out to customers to publicize all the programs available to them. The conservation position was funded out of the conservation surcharge one-way balancing account.

BMP 2.1 Public Information Program

California American Water's Los Angeles County District participated in a combination of community events, public meetings, outreach campaigns, bill messaging and inserts to reach out to customers and promote water use efficiency and conservation. California American Water has hosted a company booth/table at several community events – Duarte Concert in the Park, Temple City Concert in the Park, Ladera Height's Civic Association Fair, San Marino Police & Fire Open House, Baldwin Hills Community Water Wise Event, and the San Gabriel Valley Water Forum to promote specific conservation programs and educate event attendees. At the booth, customers could receive information on rebates, innovative devices (weather-based irrigation controllers, precision irrigation sprinkler heads, etc.), and useful water saving tips for adults and kids. California American Water provided similar materials to various other events but did not host a booth at them. California American Water held community open house events that included a conservation table providing information about our programs and conservation advice to interested customers. One such meeting took place in our Los Angeles County District regarding the drought and conservation measures (Rule and Schedule 14.1). In addition, the Los Angeles County District sent four bill inserts and 17 customer emails that focused on water conservation and incentive programs or explaining the drought and prohibited water uses. These bill inserts and customer emails include information on the SoCal-WaterSmart Rebate Program, upcoming community events, and general water-use efficiency tips and messages. California American Water also expanded its internet and digital communications in 2016. A special drought page for its website was updated continuously with monthly updates on water use reductions for each district and a water waste reporting feature was available to customers. Drought and conservation messaging was also increased through the company's Facebook page and feed. California American water hosted a rain barrel give away event for its City of San Marino customers. Residential customers were notified in advance of the event and informed of the qualification criteria to receive a free rain barrel. Rain barrels were provided on a first come, first serve basis. A total of 110, 55 gallon capacity rain barrels were distributed.

Public outreach and events are funded through California American Water's conservation surcharge, as well as through general rates collection as part of the operations budget. Those expenses under the conservation surcharge

include educational and water saving materials, displays and informative giveaways, conservation related bill inserts and mailers, and special outreach letters to customers on water conservation. Other expenses for events and activities such as event sponsorship, Company booth fees, room fees, etc. are funded under the general operations budget under Community Relations.

BMP 2.2 School Education Program

California American Water's Los Angeles County District contracted with The National Theatre for Children to provide entertaining, educational performances of "The Water Pirates of Neverland: Search for the Great Green Octopus" to elementary school children in large assemblies for the 2016 school year. A total of 5 schools participated in the program, or 1,957 students. In addition, California American Water provided conservation activity kits to 5th and 6th graders. Resource Action Program was the vendor and 8 schools participated in the program reaching 529 students.

The school education program was funded out of the conservation surcharge one-way balancing account.



BMP 3 Residential Water Audits

California American Water's Los Angeles County District performed 77 residential water surveys in 2016. Surveys were contracted out and conducted by WaterWise Consulting Services, Inc., or BluewatchDog Conservation, Inc. All audits include a detailed assessment of the indoor and outdoor usage, an individualized water budget, recommended monthly irrigation schedule, as well as a comprehensive audit package with applicable water saving devices, (water and energy) rebate application forms, and educational material. All audit data and information is collected and

maintained in an online database to allow for easy tracking of water saving opportunities and to obtain a district profile for toilets and other water saving devices.

The residential water audit program was funded out of the conservation surcharge one-way balancing account. Expenses for the conservation devices and materials are included in the Residential Plumbing Retrofit section of this report.

BMP 3 Residential Plumbing Retrofit

California American Water provides customers various water saving devices including showerheads, faucet aerators (kitchen and bathroom), toilet leak detection tablets, garden hose spray nozzles, soil probes, and educational pamphlets. These devices and informative materials are designed to help residential customers upgrade their indoor water use fixtures, identify leaks, and improve outdoor water usage for car washing and irrigation. The devices and material are provided to customers upon request at community events and meetings, office walk-ins, customer call-ins, and through the home water survey program.

The residential plumbing retrofit program was funded out of the conservation surcharge one-way balancing account.

The following devices were purchased or provided to customers in 2016:

Name of measure, as listed in Decision or Settlement	# of units / activities bought	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Showerheads	1,000	\$4.72		0.0062	5	3.6	18.1
Faucet Aerators	400	\$0.40		0.0017	5	2.2	11.1
Kitchen Faucet Aerators	200	\$1.75					
Toilet Flappers	100	\$1.25		0.0047	5	1.4	7.1
Tankbanks	0	\$1.25		unknown		unknown	unknown
Drip Gauge	0	\$0.28		unknown		unknown	unknown
Leak Detection tablets	0	\$0.06		0.0007	5	0	0
Shower Timers	200	\$1.65		unknown		unknown	unknown
Hose spray nozzle	350	\$3.30		unknown		unknown	unknown
Soil Probe	0	\$2.50		unknown	-	unknown	unknown
Collapsible Bucket	0	\$3.90		unknown	-	unknown	unknown
Water Efficiency Measurer Bag	0	\$1.35		unknown	-	unknown	unknown
Hose timer	50	\$7.48		unknown	5	unknown	unknown
Total	2,300		7,163	-		7.2	36.3

BMP 3 Residential Turf Rebate Program

In 2016, California American Water customers could apply for turf rebates via Metropolitan Water District’s SoCal Watersmart Program through the member agencies West Basin Municipal Water District and the Upper San Gabriel Water District at no additional costs to California American Water. In 2016, 41 rebate applications were approved for California American Water customers in Los Angeles totaling 59,544 square feet of turf removed.

BMP 3, 4 Residential and Commercial Rebates (MWD's SoCal Water Smart, California American Water in-house rebates)

In the Los Angeles County District, rebates in 2016 were provided to customers through MWD's SoCal Water Smart program as well as California American Water's in-house rebate program, which complements the rebate offerings from MWD (HET and UHET).

The MWD rebate programs (residential and nonresidential) are funded by MWD in part through its member agencies' purchased water rates.

BMP 4, 5 CII & Large Landscape Audits

California American Water's Los Angeles County District contracted with WaterWise Consulting, Inc, and BluewatchDog Conservation to offer free CII and large landscape ("LL") audits to non-residential customers. CII audits include a detailed onsite audit evaluating the facility, water use patterns, indoor water use, and summary of recommendations specific to the property. LL audits include a detailed outdoor audit and the creation of a site-specific water budget and irrigation schedule. In 2016, the Los Angeles County District completed 5 CII audit and 10 LL audits.

The water audit program was funded out of the conservation surcharge one-way balancing account.

BMP 4,5 CII Landscape Upgrade Program

California American Water's Landscape Upgrade Grant Program pays for non-residential landscape retrofit projects that demonstrate waterwise and climate appropriate landscape designs and public demonstration gardens. Rosemead High School was awarded funding for such project in 2016. Completion (and funding) of the project is scheduled for early 2017

The contribution was funded out of the conservation surcharge one-way balancing account.

Monterey County District

The programs funded by California American Water's conservation surcharge during 2016 are summarized in Table 8 and described in detail in the narrative that follows.

Table 8. Monterey County District: Conservation Programs									
Name of measure, as listed in Decision or Settlement	Description of measure	Authorized budget 2016 (1/3 of 3 yr budget)	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
BMP 1.1 Conservation Coordinator	Conservation staffing	\$33,333		N/A	0	n/a	n/a	n/a	n/a
BMP 1.1 Wholesaler Programs	CUWCC Membership		n/a	n/a	\$0	n/a	n/a	n/a	n/a
BMP 2.1 Public Information	Advertising, PSAs, Community Events	\$133,333	n/a	n/a	\$114,196	n/a	n/a	n/a	n/a
BMP 2.2 School Education	School education program	\$5,000	14	varies	\$9,339	Unknown	-	Unknown	Unknown
BMP 3 Residential Water Audits	Residential audits (In-House)		350	n/a	\$8,336	0.04	5	14.0	70.0
BMP 3 Residential Plumbing Retrofit	Conservation devices – CAW & MPWMD	\$7,500	25,181	varies	\$37,677	-	5	See table 9 below	See table 9 below
BMP 3 HET Direct Installations - Low-Income	N/A	12,000	N/A	N/A	0	0.0425	20	N/A	N/A
BMP 3,4 Residential & Commercial Rebates	Residential & Comm. rebates by CAW and MPWMD	\$533,333	2,077	varies	\$528,866	-	0	See table 10 below	See table 10 below
BMP 3,5	Large Landscape Grants	\$8,333	1	n/a	\$30,000	Unknown			
BMP 4 CII Audits	CII audits by WaterWise Consulting	\$58,333	25	varies	\$34,526	0.66	5	16.5	82.5
BMP 5 Large Landscape Audits	LL audits and water budgets	See BMP 4 above		varies.	See BMP 4 above	0.66	5	0	0
BMP 3,5	WBIC Study/Rain Sensor Install Program	\$8,333	46	varies	\$5,241	unknown	10	unknown	unknown
Total		\$799,500			\$768,182			30.5	152.5

BMP 1.1 Conservation Coordinator (Staffing)

In 2016, California American Water's Monterey County District conservation staff was compensated as part of regular operating expenses and not through the conservation surcharge.

BMP 2.1 Public Information Program

California American Water's Monterey County District has participated in a variety of public outreach meetings, community events, and educational campaigns.

All public outreach and educational efforts are managed by California American Water's local external affairs and conservation departments in cooperation with Monterey Peninsula Water Management District's ("MPWMD's") conservation department.

California American Water utilizes professional marketing and design services to develop professional and effective educational brochures, direct mailers, print media advertisements, and other marketing items. The company continued its proactive outreach campaign to help keep water consumption within production limits on the Seaside Basin and Carmel River.

This past year's efforts were largely centered on drought mitigation and ensuring the district complied with the Governor's statewide cutback order. Due to its historic conservation efforts, the Monterey District was ordered to reduce its consumption only by 8 percent compared to 2013 levels – the lowest amount allowable under the order. Other areas in the state were ordered to cut back their consumption by more than 30 percent by comparison.

Numerous mailers were sent to customers reminding them of the drought restrictions and the Rule 14.1 stages and rules. Radio and print ads were also leveraged for this campaign with similar messages. This included mailers about rebates, water schedules and specific watering restrictions.

The campaign was highly successful as Monterey cutback its water use by more than 18 percent in an area that already had some of the lowest per-capita water consumption in the state. In 2016, the following conservation outreach activities were conducted:

Public Radio Announcements

California American Water sponsors the Monterey Peninsula's local public radio station and is featured on regular radio spots. This year the company made a major push for conservation by offering specific water saving tips for residents, which included information on rebates and recommended outdoor watering schedules. Themes included: promotion of general conservation tips and the company's Savings are in Season campaign. KAZU FM has a strong listenership within California American Water's Monterey Peninsula service territory. Informal customer feedback to the announcements has been overwhelmingly positive. Advertisement was also conducted in the Carmel Pine Cone, The Monterey Herald, and various other radio stations some of which included Spanish speaking audiences.

Print Advertising Campaign

California American Water, leveraging its discount, long-term print advertising contracts with local newspapers, managed to put out a robust print campaign of multiple and repeated messages of various conservation themes. This year the company's focus was the drought and the statewide water consumption cutback order. Ads were run in the Carmel Pine Cone and Monterey County Weekly all promoting conservation, Rule 14.1 awareness and other drought related concepts. In addition, advertisements were purchased in both publications to run through the rest of 2016 in the Pine Cone and intermittently with the Herald. Each of these publications boasts a circulation of 30,000 to 35,000 on the Monterey Peninsula--which roughly equates to the number of California American Water residential service connections within the MPWMD boundaries. Ad themes centered on rebates and basic residential water conservation and drought messages

Website: Monterey Water Info

California American Water and MPWMD continued supporting the shared website for the Monterey area, which was established in 2009. The site serves as a one-stop, user-friendly resource for local water users to access information

on rebate programs, home water audits, regulated restrictions on the area's water supply and tips for saving water indoors and out.

The website has information for commercial and residential users and provides in-depth information on water wise landscaping. The web address is publicized through direct mail and print advertising efforts and periodically listed on California American Water customers' bills. The site additionally contains links to the Alliance for Water Efficiency, Water Sense and the American Council for a Water Efficient Economy. In addition, California American Water and the MPWMD continued to support their joint Facebook and Twitter pages. These pages are updated bi-weekly with quick tips about conservation and other important news happening in water on the Monterey Peninsula.

Monterey Water Conservation Facebook Page

California American Water in partnership with MPWMD continued its Monterey Water Conservation Facebook page to keep local contacts informed about conservation efforts. The page provides timely conservation tips and news about upcoming events and local water issues.

Mailers/Bill Inserts

Throughout the year, the company included inserts on various subjects including water quality information, payment arrangements, rates and its low-income program. In 2016, California American Water customers received an individual mailers and bill inserts about mandatory drought restrictions and Rule 14.1 compliance as well as how residents can do their part to help meet these goals.

Social Media

California American Water continued its social media support of conservation outreach by complimenting and echoing the same messaging produced in its print, radio and mailer campaigns. This includes routine updates to both the company's own Facebook page and the one it shares with MPWMD, which focuses on conservation.

California American Water also maintains a Twitter account, which it uses to inform its followers of various news items, including conservation tips and rebate offerings.

Earned Media Campaign

California American Water also worked to promote participation in events as well as national programs such as the Environmental Protection Agency's Fix a Leak Week, National Drinking Water Week and National Water Awareness Month, during which California American Water promoted these national endeavors to local media including the Monterey County Herald, Carmel Pine Cone, Monterey County Weekly, KAZU FM, KSBW TV, KION TV, KCBA TV, KSMS TV.

Community and Outreach Events

Each year, California American Water and MPWMD participate in various community fairs and events, staffing a conservation booth where California American Water customers can interact with water conservation experts, take advantage of free water saving devices and obtain information about indoor and outdoor water saving appliances and techniques. In 2016, California American Water and MPWMD participated in the following events: Pacific Grove Good Old Days, Earth Day, and through membership in the Water Awareness Committee of Monterey County, the Monterey County Fair.

Costs associated with attending such events included sponsorship fees and booth costs, marketing, materials and giveaways for customers visiting the booth, and booth displays pieces.

BMP 2.2 School Education Program

In 2016, California American Water continued reaching its key objectives for ongoing school education and outreach in water conservation.

The key goals included:

- Ongoing relationship building with the Water Awareness Committee (WAC);
- Outreach to students at community events offering free educational materials;
- Outreach to students in-class and at afterschool activities to offer education conservation.

Zun Zun School Performances

California American Water, through the WAC, offered school presentations by the Zun Zun performance group. In 2016, Zun Zun provided fourteen 45-minute performances within California American Water's service territory. The performances reached a total of 2,715 students and covered topics such as the water cycle, watershed, indoor conservation and conservation tips, including information about fixing leaks.

Water Awareness Committee Activities

California American Water coordinated with the WAC to offer school education opportunities and outreach. Activities included class presentations, as well as interactive school assemblies. Both California American Water and the MPWMD are founding members of WAC.

In addition to school education programs, WAC sponsored a Water Awareness Day Celebration at the Monterey County Fair in September. The event was held on Saturday, September 2, 2016. This family-friendly event featured booths including: California American Water, MPWMD and Marina Coast Water District.

The school education program was funded out of the conservation surcharge one-way balancing account.

BMP 3 Residential Water Audits

California American Water's Monterey district has been providing free Water Wise House Calls to its customers since 2008 and utilizes in house trained audit staff at no cost to the Conservation Budget. The program is available to residents of single and multi-family properties and to owners and managers of apartments and condominiums, offering free residential audits to identify ways by which the customer can save water indoors and outdoors.

California American Water's conservation staff completed 350 Water Wise House Calls in 2016. California American Water promoted the Water Wise House Call program specifically through bill inserts, rebate brochures, offering the service to customers who visited the office to make payments and by targeting customers who had received high water bills and had been billed in the higher tiers of CAW's inclining five-tiered rate design.

During the Water Wise House Calls (audits), California American Water identified common inefficiencies and water waste in some of the Monterey residences. The most common such occurrences were:

- Toilet and faucet leaks
- Irrigation controllers set to run too long resulting in water waste
- Misaligned and broken sprinkler heads
- Customer service line leaks

California American Water's conservation staff educated customers on how to read their water meter and properly adjusted their irrigation controllers where appropriate to meet the plant water needs and to irrigate in compliance with MPWMD's two day a week watering schedule.

Leak Detection

California American Water's conservation staff utilizes data logging technology to assist in evaluating difficult to diagnose high water bills by downloading up to 180 days of usage, hour by hour, from the company's radio read meters. By evaluating hourly usage patterns, usage data reports have aided in identifying the date range in which high usage occurred, and resulted in the identification of issues including having improperly programmed irrigation controllers, leaks in the irrigation system, toilet leaks, service line leaks, and hoses been left running.

Water Wise House Calls Pilot Program Utilizing Tablet Handheld Computers

California American Water's Monterey Division conservation staff in October of 2016 piloted a new Water Use Efficiency Evaluation program for its Residential Water Wise House Call Program utilizing tablet handheld computers and software developed by Droplet Technologies with assistance provided by California American Water.

The new program allowed California American Water to increase the efficiency in how on-site audits are conducted and conservation reports are generated for customers. California American Water staff worked closely with Droplet Technologies during the development stages and provided input to enhance the program to fully meet specific needs.

BMP 3 Residential Plumbing Retrofit

California American Water has been offering various free water savings devices for its residential and commercial customers including showerheads and kitchen faucet aerators with a flow rate of 1.5 gallons per minute, bathroom faucet aerators with a flow rate of 0.5 gallons per minute, leak detection tablets/kits and outdoor water saving tools such as soil moisture meters and hose nozzles that automatically shut off when not in use.

In 2016, California American Water and MPWMD distributed the following conservation devices to customers:

Table 9. Monterey County District: BMP 3 & 4 Plumbing Retrofit Detail – California American Water and MPWMD devices							
Devices provided by California American Water							
Name of measure, as listed in Decision or Settlement	# of units / activities provided	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year ¹	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Showerheads	3,016	\$3.50	\$10,556	0.0062	5	18.7	93.5
Faucet Aerators Bathroom	4,600	\$0.40	\$1,840	0.0017	5	7.8	39.0
Faucet Aerators Kitchen	2,625	\$2.05	\$5,381	0.0017	5	4.5	22.3
Leak Detection tablets	1,900	\$0.06	\$114	0.0007	5	1.3	6.5
Shower Timers	2,568	\$1.05	\$2,696	unknown	5	unknown	unknown
High Efficiency Pre Rinse Spray Valve	16	\$26.00	\$416	0.392	5	6.3	31.4
Dish Squeegees	1,784	\$1.95	\$3,479	unknown		unknown	unknown
Leak Detection Kits	2,620			0.0007	5	1.8	9.0
Moister Meters	3,340	\$1.88	\$6,279	unknown	5	unknown	unknown
Hose Shut off Nozzles	2,712	\$2.55	\$6,916	Varies	3	Varies	Varies
Total	25,181		\$37,677			40.3	201.7
Devices provided by MPWMD							
Showerheads	2600	\$3.59	\$9,334	0.0062	5	16.1	80.6
Showerheads - Hand-Held	508	\$8.95	\$4,547	0.0062	5	3.1	15.7
Lavatory Faucet Aerators	720	\$0.48	\$346	0.0017	5	1.2	6.1
Kitchen Faucet Aerators	225	\$2.75	\$619	0.0017	5	0.4	1.9
Leak Detection tablets	650	\$0.06	\$39	0.0007	5	0.5	2.3
Shower Timers	400	\$1.65	\$660	unknown	5	Varies	Varies
Moister Meters	472	\$2.50	\$1,180	unknown	5	unknown	unknown
Hose Shut Off Nozzle	320	\$3.30	\$1,056	Varies	3	Varies	Varies

Table 9. Monterey County District: BMP 3 & 4 Plumbing Retrofit Detail – California American Water and MPWMD devices

Devices provided by California American Water

Name of measure, as listed in Decision or Settlement	# of units / activities provided	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year ¹	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Total	5895		\$17,781			21.3	106.7

The residential plumbing retrofit program was funded out of the conservation surcharge one-way balancing account. Items provided through MPWMD were funded out of MPWMD’s conservation budget.

BMP 3, 4 Residential and Commercial Rebates (MPWMD Rebates)

Monterey County District’s rebate program is funded by California American Water but administered by MPWMD. California American Water has been working closely with MPWMD to implement advertising campaigns and press releases that draw customers’ attention to the rebate program benefits.

During 2016, 2,077 rebate applications were approved.

Table 10. Monterey County District: BMP 3, 4 Residential and Commercial Rebates (MPWMD Rebates)

<u>Types of Fixtures Rebated</u>	# of rebates	Annual Savings per device (in AF)	total annual savings (in AF)	lifetime in years	lifetime savings (in AF)
High Efficiency Toilet (HET)	252	0.0425	10.71	20	214.2
Ultra-Low Flush to HET	537	0.0425	22.82	20	456.5
Ultra HET	84	0.0425	3.57	20	71.4
High Efficiency Dishwasher	224	unknown	unknown		
High Efficiency Clothes Washer	623	0.1075	67.0	10	670.0
Instant Access Hot Water Systems	26	unknown	unknown		-
On Demand Hot Water-Point of Source	9	Unknown	unknown		-
Zero Use Urinals	1	Unknown	unknown		-
Pint Urinals	2	Unknown	unknown		-
Cisterns	70	Unknown	unknown		-
Smart Controllers	14	Unknown	unknown		-
Rotating Sprinkler Nozzles	194	Unknown	unknown		-
Moisture Sensors	0				
Lawn Removal & Replacement	38 rebates/ 56,805sqft	0.00013	7.39	10	73.9
Graywater	3	unknown	unknown		
Total	2,077		302.22		1,486.0

The rebate program was funded out of the conservation surcharge one-way balancing account.

BMP 3,5 – Large Landscape Grants

California American Water's successful landscape grant program, implemented in 2011, continued in 2016 to reduce the water demand of municipal properties by changing landscaping and upgrading irrigation systems. California American Water's large landscape grant program focuses on replacing turf on city properties and schools with low water use plants, and/or installation of water saving irrigation technology. The grant award is intended to provide funding for a demonstration project with high visibility, significant water savings, exemplary landscaping, and/or use of water-saving irrigation technology.

In the winter of 2014, California American Water awarded the Monterey Peninsula Unified School District \$30,000 to replace all high use sprinkler heads with the efficient rotary nozzles for nine of the school's athletic fields and turf areas. Rotary Nozzles deliver larger droplet streams of water at a lower application rate reducing wind deflection and increasing irrigation efficiency. Because the water is applied more slowly, more water is able to soak into the soil. In addition, rotary nozzles' highly efficient water delivery reduces soil erosion and run off, saving water and money. The potential estimated annual water savings for this project amount to 1,000,000 gallons. The project began in December of 2014 and was completed in March of 2016.

BMP 3, 5 WBIC, Rain Sensor Install Program and Soil Moisture Sensor

California American Water continued its Rain Sensor & Soil Moisture Sensor Installation Program through its contractor EcoTech and has installed 401 rain sensors since the program began in 2011 for residential and non-residential customers. In addition, soil moisture sensors were offered to select customers in 2016 that have landscapes which benefit from such a device. In 2016, there were a total of 46 rain sensors and 10 soil moisture sensors installed.

Targeted candidates for rain and soil moisture sensor upgrades are typically customers with usage in the 4th and 5th tier of Monterey's five tiered residential rate structure during the months of November through April indicating possible over-irrigation occurring during winter months.

BMP 4 CII Audits

California American Water continued its commercial audit program established in 2009 along with its contract with Water Wise Consulting to conduct commercial, institutional, and industrial audits during 2016. Water Wise Consulting completed 25 audits. Since the program began in 2009, over 257 commercial customers have participated in such survey and implemented significant water savings as a result.

California American Water's conservation staff followed up with the customers on site and in person to review the audit reports and provided free devices, such as faucet aerators and pre-rinse spray valves.

Customers were given audit reports that focused on applicable water-saving devices, and estimated water and cost savings together with expected payback periods for such upgrades. The payback period calculations included the rebate incentives available to CII customers through the California American Water and MPWMD Rebate Program.

Sacramento District

The programs funded by California American Water's conservation surcharge during 2016 are summarized in Table 11 and described in detail in the narrative that follows.

Table 11. Sacramento District: Conservation Programs									
Name of measure, as listed in Decision or Settlement	Description of measure	Authorized 2015 budget –	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
BMP 1.1 Conservation Coordinator	Conservation staffing	31,987	1 Rep	N/A	45,824	n/a	n/a	n/a	n/a
BMP 1.1 Wholesaler pgms	CUWCC Membership		n/a	n/a	3,326	n/a	n/a	n/a	n/a
BMP 1.1 Wholesaler pgms	RWA Membership		n/a	n/a	36,602	n/a	n/a	n/a	n/a
BMP 2.1 Public Information	Advertising, PSAs, Community Events	66,639	?	n/a	18,118 55,255-drought acct	n/a	n/a	n/a	n/a
BMP 2.2 School Education	School education pgm by Resource Action Pgms	41,008	254	varies	37,777	0.006 (Showerhead etc. in kit)	5	1.5	7.6
BMP 3 Residential Water Audits	Residential audits by WaterWise Consulting and in-house	26,455	181	Approx.. \$260	6,512	0.04	5	11.4	57.2
BMP 3 Residential Rebates	Residential rebates by CAW and CUWCC (HECW)&(HEW)	15,378	147	varies	24,900	0.1075	10	15.7	157.0
BMP 3 Residential Rebates	Residential rebates by CAW and CUWCC (HET)	20,504	820	varies	61,597	0.0425	20	24.2	484.5
BMP 3 Residential Plumbing Retrofit	Conservation devices	25,630	12,094	varies	12,099	varies	5	See table 12 below	See table 12 below
BMP 3 Residential Low-Income Direct Install	Joint Water/Energy Direct Install	33,333	?	varies	20,885	0.0425	20	0	0
BMP 4 & 5 CII & Large Landscape Audits	LL & CII audits by WaterWise Consulting	74,343	0	varies	0	0.66	5	8.6	42.9
BMP 4 & 5 Commercial Rebates	Commercial rebates by CAW and CUWCC (HET & HEW & WBIC)	52,338	321		51,899	0.0425 & 0.1075	10/20	0.3	6.5

	Turf Exchange Rebates	33,334	8/33,384sq ft	\$2 per sq. ft.	31,839	0.00014 per sq ft	10	89.7	279.0
Total		\$420,949			\$351,378			89.7	1,034.7

BMP 1.1 Conservation Coordinator (Staffing)

In 2016, California American Water’s Sacramento District funded two full-time Conservation Representative positions. The conservation staff conducted residential water surveys and supported the administration of the conservation program by responding to customer inquiries, conducting conservation patrols, staffing public outreach conservation events, tracking equipment inventory, assisting customers with rebate applications, and reaching out to customers to publicize all the programs available to them. The staff also conducted turf removal rebate pre- and post inspections at customer sites. California American Water also hired a temporary staff person in October of 2015 to cope with drought related workload increases and who was retained through 2016. The conservation Representative position was funded out of the conservation surcharge one-way balancing account; the temp employee was funded through California American Water’s Drought Memorandum Account.

BMP 2.1 Public Information Program

In 2016, California American Water’s Sacramento district continued increased communications to customers as a result of the drought. All customers received notices about the change with self-certification in the mail and in their bill. As summer continued, the focus shifted to local messages through a variety of communications channels.

The Company inserted information in bills to all customers about conservation services and rebates and began providing monthly bill text messages with information about reductions achieved compared to previous years. 2direct mailers with conservation information and 3 bill inserts were sent throughout the course of the year. The CPUC held one public hearing in Rancho Cordova and the company held two community meetings prior to the public hearing to discuss the drought and our GRC filing. California American Water’s external affairs team also attended and presented information to over 20 community meetings sponsored by various groups including cities, Homeowner Associations, local elected officials and Neighborhood Watch groups. Public information about water meters, conservation programs, rebates and services were a central theme at each of these meetings and greatly increased the penetration of the Company’s conservation marketing efforts.

California American Water continued its expanded use of its internet and digital communications in 2016. A special drought page for its website featured monthly updates on water use reductions for each district and a water waste reporting feature. Drought and conservation messaging was also increased through the company’s Facebook page and Twitter feed.. Constant Contact emails were used to reach about 15,000 customers in Sacramento. The company also provided a water waste reporting and conservation app in 2016.

California American Water is a partner in the Regional Water Authority’s Be WaterSmart campaign – which features school contests, online advertising, as well as radio and television messages about how to save water.

BMP 2.2 School Education Program

California American Water’s Sacramento District is a member agency of Sacramento’s Regional Water Authority (“RWA”) and offers school outreach programs as part of the Regional Water Efficiency Program. RWA’s Water Efficiency Program (“WEP”) includes an array of measures aimed at improving water efficiency and meeting best management practices (“BMP’s”) for urban conservation. The program includes core activities such as public information, school education, marketing coordination, grant applications and technical assistance. In addition, California American Water partners with Resource Action Programs (“RAP”) similar to its other districts to provide

school education programs through RAP's LivingWise Program. In 2016, approximately 8,900 students were reached through both programs

The school education program was funded out of the conservation surcharge one-way balancing account.

BMP 3 Residential Water Audits

California American Water's Sacramento District performed 181 residential water surveys in 2016 in house by its own conservation staff. Few residential surveys were contracted out in 2016 due to scheduling conflicts or greater demand than could be handled by in house staff in a timely manner. The contracted out surveys were conducted by WaterWise Consulting Services, Inc. All audits include a detailed assessment of the indoor and outdoor usage, an individualized water budget, recommended monthly irrigation schedule, as well as a comprehensive audit package with applicable water saving devices, (water and energy) rebate application forms, and educational material. All audit data and information is collected and maintained in an online database to allow for easy tracking of water saving opportunities and to obtain a district profile for toilets and other water saving devices.

The residential water audit program for the surveys conducted through WaterWise Consulting was funded out of the conservation surcharge one-way balancing account. Expenses for the conservation devices and materials are included in the Residential Plumbing Retrofit section of this report.

Water Waste Patrols

California American Water's Sacramento District has been performing regular Water Waste Patrols alerting customers of leaks, excessive run off or irrigation timers that run during mid-day hours. The Water Waste Patrols are done by in house staff similar to other districts wherever workload allows for such. Conservation staff from the Sacramento District has been handing out informational handouts, rebate info or, in some cases, water savings devices upon customer request.

BMP 3 Residential Plumbing Retrofit

California American Water provides customers various water saving devices including showerheads, faucet aerators (kitchen and bathroom), toilet leak detection tablets, garden hose spray nozzles, soil probes, and educational pamphlets. These devices and informative materials are designed to help residential customers upgrade their indoor water use fixtures, identify leaks, and improve outdoor water usage for car washing and irrigation. The devices and material are provided to customers upon request at community events and meetings, office walk-ins, customer call-ins, and through the home water survey program.

The residential plumbing retrofit program was funded out of the conservation surcharge one-way balancing account.

The following devices were purchased and provided to customers in 2016:

Table 12. Sacramento District: BMP 3 & 4 Residential Plumbing Retrofit- Detail							
Name of measure, as listed in Decision or Settlement	# of units / activities provided	\$ per unit, activity, etc.	Total \$ spent 2015	Estimated water savings per unit per year	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Showerheads	304	\$4.72	1,435	0.0062	5	16.9	84.6
Faucet Aerators	752	\$0.55	414	0.0017	5	8.3	41.3
Toilet Flappers	0	\$1.50	0	0.0047	5	0	0
Tank banks	10	\$1.25	12.50	unknown	5	unknown	Unknown
Drip Gauge	6	\$0.28	2	unknown	5	unknown	Unknown
Leak Detection tablets	2055	\$0.06	149	0.0007	5	2.2	11.0
Shower Timers	90	\$1.65	149	unknown	5	unknown	Unknown
Hose spray nozzle	644	\$4.95	3,188	unknown	5	unknown	Unknown
Moisture Sensor	745	\$2.50	1,863	unknown	5	unknown	Unknown
Rain & Sprinkler Gauge	54	\$1.35	73	unknown	5	unknown	Unknown
Hose Timers	53	\$8.75	464	unknown	5	unknown	Unknown
Total	4,713		7,750	-		27.4	137.0

BMP 3 – Low Income Direct Install Program

A Joint Water/Energy low-income direct installation program was implemented in the Sacramento District as a first of its kind of this magnitude in California. The program is a jointly funded partnership program with mutual customers of California American Water and Pacific Gas and Electric. The program installs water and energy savings upgrades and retrofits free of charge at low income customers' homes. The program provisions for retrofitting approx. 2,000 low income customers in California American Water's Sacramento, Monterey and Larkfield districts through 2016 and 2017 with the majority of these 2,000 customers being in Sacramento. The program was initiated in Sacramento in late 2015 and several retrofits took place, however, invoicing did not commence until 2016.

The low-income direct installation program was funded out of the conservation surcharge one-way balancing account.

BMP 3, 4 Residential and Commercial Rebates (California American Water in-house rebates)

In the Sacramento District, rebates in 2016 were provided to customers primarily through California American Water's in-house rebate program offering a number of residential and commercial incentives. Sacramento customers are also offered rebates through the Regional Water Authority ("RWA"). Precautions were taken so customers could not obtain multiple rebates for one appliance.

California American Water's Sacramento district costs for this program are funded from the conservation surcharge collected on customers' bills each month.

BMP 4, 5 CII & Large Landscape Audits

California American Water-Sacramento District contracted with WaterWise Consulting, Inc, to offer free CII and large landscape ("LL") audits to non-residential customers. CII audits include a detailed onsite audit evaluating the facility, water use patterns, indoor water use, and summary of recommendations specific to the property. LL audits include a detailed outdoor audit and the creation of a site-specific water budget and irrigation schedule. In 2016, Sacramento completed 2 CII audits and 1 LL audit.

The CII & LL water audit program was funded out of the conservation surcharge one-way balancing account.

BMP 3, 4, 5 Turf Exchange Rebate Program

In 2016, the Sacramento district continued to offer residential and commercial turf rebates for qualified customers through its in-house program, however the program was discontinued in April when funding was exhausted. All rebates required a pre- and post inspection through California American Water's conservation staff. The program required the removal of traditional spray overhead irrigation and specified low water use plant selections. 8 customers participated and received such rebate and close to 34,000 square feet of turf removed.

The turf exchange rebate program was funded in part out of the conservation surcharge one-way balancing account with additional funding through California American Water's drought memorandum account.

Larkfield District

The programs funded by California American Water's conservation surcharge during 2016 are summarized in Table 15 and described in detail in the narrative that follows.

Name of measure, as listed in Decision or Settlement	Description of measure	Authorized 2016 budget	# of units / activities	\$ per unit, activity, etc.	Total \$ spent	Estimated water savings per unit per year	Unit lifespan (years)	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
BMP 1.1 Conservation Coordinator	Conservation staffing	\$13,745	1 part time staff	N/A	6,311	n/a	n/a	n/a	n/a
BMP 1.1 Wholesaler pgms	CUWCC Membership		n/a	n/a	98	n/a	n/a	n/a	n/a
BMP 2.1 Public Information	Advertising, PSAs, Community Events, Demonstration Gardens	\$3,594	1		861	n/a	n/a	n/a	n/a
BMP 2.2 School Education	School education pgm (in house)	\$513	0	4.65	0	n/a	n/a	n/a	n/a
BMP 3 Residential Water Audits	Residential audits by WaterWise Consulting and in-house staff	\$3,594	9	195	212	0.04	5	0.4	1.8
BMP 3 Residential Rebates	Residential rebates by CAW and CUWCC (HECW)	\$1,540	7	varies	1,325	0.1075	10	0.8	8.0
BMP 3 Residential Rebates	Residential rebates by CAW and CUWCC (HET)	\$1,540	22	varies	3,171	0.0425	20	0.9	18.7
BMP 3 Residential Plumbing Retrofit	Conservation devices (shwrhd, aerators)	\$1,540	705	varies	1,405	varies	5	See table 14 below	See table 14 below
BMP 4, Commercial Rebates	Commercial rebates by CAW and CUWCC (HET & HEW & WBIC)	\$1,540	0	varies	0	Varies	varies		
BMP 4	CII Surveys	\$2,567	0	varies	0	0.66	10		
BMP 3 & 4, Turf Exchange	Turf Exchange Rebates (In house)	0	11rebt/9,454sqft		17,195	0.00014 per sqft	10	1.3	13.0
Total		\$30,173			30,578			3.4	41.5

BMP 1.1 Conservation Coordinator (Staffing)

In 2016, California American Water's Larkfield District funded one limited part time conservation staff position for most of the year. The conservation staff supported the administration of the conservation program by tracking equipment inventory, scheduling water wise house surveys, conducting research, responding to customer questions on conservation programs such as residential audits and the turf exchange rebate program, and reaching out to

customers to publicize all the programs available to them. The conservation staff also kept on top of drought conditions. The conservation staff position was funded out of the conservation surcharge one-way balancing account and partially through California American Water's drought memorandum account.

BMP 2.1 Public Information Program

Larkfield was the first district in California American Water to activate its mandatory conservation programs which included enforcement penalties in response to the state drought and strained local supply conditions. California American Water's Larkfield District participated in a variety of public outreach meetings, community events, and educational campaigns. In 2016, California American Water maintained ongoing community meeting participation with the Larkfield Chamber of Commerce, local elected officials (including town halls in Fulton and Larkfield) and active community members to engage them in water conservation campaigns and program development; and attended Sonoma County Water Agency's ("SCWA") water conservation coordinators meetings. In addition, the Company produced 2 mailers and 3 bill inserts with information about rebates and services to all customers, mandatory drought restrictions and alerting them to existing programs, such as residential audits, residential rebates, conservation device giveaways, and the turf replacement program.

California American Water also continued with expanded internet and digital communications in 2016 to respond to the drought. A special drought page for its website featured monthly updates on water use reductions for each district and offered a water waste reporting feature for customers. Drought and conservation messaging was also increased through the company's Facebook page and Twitter feed and a new water waste and conservation mobile app was launched.

California American Water continued with its participation in the regional water conservation organization – the Sonoma Marin Saving Water Partnership. This organization operates on a fiscal year calendar – their work for the first half of 2016 is highlighted here:

<http://www.savingwaterpartnership.org/wp-content/uploads/15-16-SMSWP-Annual-Report-v8web.pdf>

The public information program was funded out of the conservation surcharge one-way balancing account, community relations budgets and through California American Water's drought memorandum account.

BMP 2.2 School Education Program

Larkfield conservation staff provided water saving kits for distribution at the elementary schools such as tooth brushing kits containing a toothbrush, 2 minute water timer, activity book highlighting ways to save water, and bathroom stickers with water and energy saving tips were purchased. Water conservation coloring books were also distributed to schools in 2016.

BMP 3 Residential Water Audits

California American Water's Larkfield District contracted with WaterWise Consulting Services to provide free residential audits for single and multi-family properties. The audits include a detailed assessment of the indoor and outdoor usage, an individualized water budget, recommended monthly irrigation schedule, as well as a comprehensive audit package with applicable water savings devices, (water and energy) rebate application forms, and educational material. One such audit (residential) was performed by this vendor in 2016. A number of audits were also performed by in-house Operations staff in 2016.

The residential water audit program was funded out of the conservation surcharge one-way balancing account. Expenses for the conservation devices and materials are included in the Residential Plumbing Retrofit section of this report.

BMP 3, 4 Residential and Commercial Rebates (California American Water in-house rebates)

In the Larkfield District, rebates in 2016 were provided to customers primarily through California American Water's in-house rebate program offering a number of residential and commercial incentives. Customers were also able to apply for rebates through the Sonoma County Sanitation District. Precautions were taken so customers could not obtain multiple rebates for one appliance.

BMP 3 Residential Plumbing Retrofit

California American Water provides customers various water saving devices including showerheads, faucet aerators (kitchen and bathroom), toilet leak detection tablets, garden hose spray nozzles, soil probes, and educational pamphlets. These devices and informative materials are designed to help residential customers upgrade their indoor water use fixtures, identify leaks, and improve outdoor water usage for car washing and irrigation. The devices and material are provided to customers upon request at community events and meetings, office walk-ins, customer call-ins, and through the home water survey program.

The residential plumbing retrofit program was funded out of the conservation surcharge one-way balancing account.

The following devices were provided to Larkfield area customers in 2016:

Name of measure, as listed in Decision or Settlement	# of units / activities provided	\$ per unit, activity, etc.	Total \$ spent 2016	Estimated water savings per unit per year	Unit lifespan	Estimated Annual measure savings (AFY)	Estimated Lifetime measure savings (AF)
Showerheads	11	\$3.50		0.0062	5	0.07	0.35
Faucet Aerators	15	\$0.40		0.0017	5	0.03	0.15
Toilet Flappers	9	\$1.25		0.0047	5	0.04	0.2
Tank banks	0	\$1.25		unknown		unknown	unknown
Drip Gauge	1	\$0.28		unknown		unknown	unknown
Leak Detection tablets	118	\$0.06		0.0007	5	0.08	0.4
Shower Timers	6	\$1.65		unknown		unknown	unknown
Hose spray nozzle	20	\$3.30		unknown		unknown	unknown
Moisture Sensor	11	\$2.50		unknown		unknown	unknown
Rain & Sprinkler Gauge	1	\$1.35		unknown		unknown	unknown
Hose Timers	3	\$6.75		unknown		unknown	unknown
Total	195		\$	-	-	0.22	1.1

BMP 4, 5 CII & Large Landscape Audits

California American Water's Larkfield District contracted with WaterWise Consulting to offer free CII and large landscape ("LL") audits to non-residential customers. No requests for CII audits in Larkfield were received nor was a CII audit conducted in 2016.

BMP 3, 4, 5 Turf Exchange Rebate Program

The Larkfield district continued to offer residential and commercial turf rebates for qualified customers through its in-house program. All rebates required a pre- and post inspection through California American Water's conservation staff. The program required the removal of traditional spray overhead irrigation and specified low water use plant selections. In 2016, 9,454 sqft of turf area was replaced. Along with the turf exchange rebate, the Larkfield district also offered a rebate on qualifying irrigation smart controllers; the rebate amount for residential customers was \$200

while the rebate amount for commercial customers was \$50 per station. Both commercial and residential customers can receive \$40 for rain sensors to attach to existing irrigation systems.

Schedule E- 4 Report on Affiliate Transactions

Affiliate includes all related companies including but not limited to Parent, Affiliates, and Subsidiaries.

INSTRUCTIONS:

- * For those utilities with specifically authorized affiliate transaction rules, provide all information required by those rules.
- * For those utilities with no specifically authorized affiliate transaction rules, or those utilities whose authorized affiliate transaction rules do not provide the following information, provide the following:
 1. Summary of all transactions between regulated water utility and its affiliated companies for the previous calendar year. The summary shall include a description of each transaction and an accounting of all dollars associated with each transaction although each transaction need not be separately identified where multiple transactions occur in the same account. These transactions shall include:

(a)	services provided by regulated water utility to any affiliated company; Support services to Hawaii-American Water Company, a subsidiary of AWW These services included management, finance, legal, HR, engineering, construction management and environmental.	\$75,322
(b)	services provided by any affiliated company to regulated water utility; Governance & Corporate Activities (includes finance, HR, admin, audit, legal, business development, finance, investor relations, operations, communications and regulatory) Other Business Services (includes call center, lab, supply chain, IT, shared services & benefits center)	\$7,141,468 <u>\$7,975,221</u>
	Total	\$15,116,689
 - (c) assets (both tangible and intangible) transferred from regulated water utility to any affiliated company;
None
 - (d) assets (both tangible and intangible) transferred from any affiliated company to regulated water utility;
Recorded \$146,000 Net book value from American Water Works Service Company to California-American Water Company related to CMMS SAP EAM Database
 - (e) employees transferred from regulated water utility to any affiliated company;
0
 - (f) employees transferred from any affiliated company to regulated water utility; and
1
 - (g) financing arrangements and transactions between regulated water utility and any affiliated company.

All financing activities are covered by an agreement between American Water Capital Corporation (AWCC) and California-American Water Company.
 - (h) Services provided by and/or assets transferred from the parent holding company to affiliate company which may have germane utility regulations impacts; and
None
 - (i) Services provided by and/or assets transferred from affiliated company to the parent holding company which may have germane utility regulation impacts.
None

Schedule E-4 Attachment
CALIFORNIA AMERICAN WATER - SHARED DIRECTORS AND OFFICERS AS OF MAY 19, 2017
Per Affiliate Transaction Rule IV.C

Personnel Name	Business Entity	Title Role	Title
Castillo, Kimberly	California-American Water Company	Officer	Vice President - Human Resources
Castillo, Kimberly	Hawaii-American Water Company	Officer	Vice President - Human Resources
Cerasuolo, Anthony	California-American Water Company	Officer	Vice President, Legal – Operations & Secretary
Cerasuolo, Anthony	Hawaii-American Water Company	Director	Director
Cerasuolo, Anthony	Hawaii-American Water Company	Officer	Vice President, Legal - Operations
Crooks, Ian	California-American Water Company	Officer	Vice President - Engineering
Crooks, Ian	Hawaii-American Water Company	Director	Director
Crooks, Ian	Hawaii-American Water Company	Officer	Vice President - Engineering
Dana, Jeffrey	California-American Water Company	Officer	Assistant Treasurer
Dana, Jeffrey	California-American Water Company	Officer	Vice President - Finance
Dana, Jeffrey	Hawaii-American Water Company	Director	Director
Dana, Jeffrey	Hawaii-American Water Company	Officer	Vice President - Finance and Treasurer
Gambol, Jennifer	American Water Capital Corp.	Officer	Vice President and Treasurer
Gambol, Jennifer	American Water Resources of Florida, Inc.	Director	Director
Gambol, Jennifer	American Water Resources of Florida, Inc.	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	American Water Resources of Texas, Inc.	Director	Director
Gambol, Jennifer	American Water Resources of Texas, Inc.	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	American Water Resources, LLC	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	American Water Services Underground Infrastructure Corp.	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	American Water Works Company, Inc.	Executive Officer	Vice President and Treasurer
Gambol, Jennifer	American Water Works Service Company, Inc.	Director	Director
Gambol, Jennifer	American Water Works Service Company, Inc.	Officer	President and Treasurer
Gambol, Jennifer	AW Contract Services (Canada), Inc.	Director	Director
Gambol, Jennifer	AW Contract Services (Canada), Inc.	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	AW Technologies Incorporated	Director	Director
Gambol, Jennifer	AW Technologies Incorporated	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	AWI, Inc.	Officer	President and Treasurer
Gambol, Jennifer	California-American Water Company	Officer	Treasurer
Gambol, Jennifer	EMC American Water Canada, Inc.	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	EMC of St. Charles County, LLC	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	Environmental Management Corporation	Officer	Vice President and Chief Financial Officer
Gambol, Jennifer	Laurel Oak Properties Corporation	Officer	Treasurer
Gambol, Jennifer	Prism-Berlie (Windsor) Limited	Officer	Vice President and Chief Financial Officer
Girard, Lori	California-American Water Company	Officer	Assistant Secretary
Girard, Lori	Hawaii-American Water Company	Officer	Secretary
Horning, Kathryn	California-American Water Company	Officer	Assistant Secretary
Horning, Kathryn	Hawaii-American Water Company	Officer	Assistant Secretary
Leeper, Sarah	California-American Water Company	Officer	Vice President, Legal – Regulatory & Assistant Secretary
Leeper, Sarah	Hawaii-American Water Company	Officer	Vice President, Legal - Regulatory
Lynch, Walter	Laurel Oak Properties Corporation	Director	Director
Lynch, Walter J.	American Water Capital Corp.	Director	Director
Lynch, Walter J.	American Water Works Company, Inc.	Officer	Executive Vice President and Chief Operating Officer
Lynch, Walter J.	American Water Works Service Company, Inc.	Director	Director
Lynch, Walter J.	American Water Works Service Company, Inc.	Officer	Executive Vice President and Chief Operating Officer
Lynch, Walter J.	AWI, Inc.	Director	Director
Lynch, Walter J.	California-American Water Company	Director	Director
Lynch, Walter J.	E'Town Properties, Inc.	Director	Director
Lynch, Walter J.	E'Town Properties, Inc.	Officer	President
Lynch, Walter J.	Water Solutions Holdings, LLC	Director	Director
MacLean, Robert	American Water Works Service Company, Inc.	Director	Director
MacLean, Robert	American Water Works Service Company, Inc.	Officer	Senior Vice President, Eastern Division
MacLean, Robert	California-American Water Company	Director	Director
MacLean, Robert G.	Edison Water Company	Director	Director
MacLean, Robert G.	Edison Water Company	Officer	President
MacLean, Robert G.	Environmental Disposal Corp.	Director	Director
MacLean, Robert G.	Environmental Disposal Corp.	Officer	President
MacLean, Robert G.	Liberty Water Company	Director	Director
MacLean, Robert G.	Liberty Water Company	Officer	President
MacLean, Robert G.	New Jersey-American Water Company, Inc.	Director	Director
MacLean, Robert G.	New Jersey-American Water Company, Inc.	Officer	President
McKeever, Michael	Michigan-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	American Lake Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Bluefield Valley Water Works Company	Officer	Assistant Comptroller
McKeever, Michael B.	California-American Water Company	Officer	Assistant Controller
McKeever, Michael B.	Edison Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Environmental Disposal Corp.	Officer	Assistant Comptroller

Schedule E-4 Attachment
CALIFORNIA AMERICAN WATER - SHARED DIRECTORS AND OFFICERS AS OF MAY 19, 2017
Per Affiliate Transaction Rule IV.C

Personnel Name	Business Entity	Title Role	Title
McKeever, Michael B.	Hawaii-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Illinois-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Indiana-American Water Company, Inc.	Officer	Assistant Comptroller
McKeever, Michael B.	Iowa-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Kentucky-American Water Company	Officer	Assistant Controller
McKeever, Michael B.	Liberty Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Maryland-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Missouri-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Mt. Ebo Sewage Works, Inc.	Officer	Assistant Comptroller
McKeever, Michael B.	New Jersey-American Water Company, Inc.	Officer	Assistant Comptroller
McKeever, Michael B.	New York American Water Company, Inc.	Officer	Assistant Comptroller
McKeever, Michael B.	Pennsylvania-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Tennessee-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	Virginia-American Water Company	Officer	Assistant Comptroller
McKeever, Michael B.	West Virginia-American Water Company	Officer	Assistant Comptroller
Norton, Cheryl	Missouri-American Water Company	Director	Director
Norton, Cheryl	Missouri-American Water Company	Officer	President
Norton, Cheryl D.	California-American Water Company	Director	Director
Svindland, Richard	California-American Water Company	Director	Director
Svindland, Richard	California-American Water Company	Officer	President and Chair of the Board
Svindland, Richard	Hawaii-American Water Company	Director	Director
Svindland, Richard	Hawaii-American Water Company	Officer	President
Tilden, Kevin A.	California-American Water Company	Officer	Vice President, External Affairs
Tilden, Kevin A.	Hawaii-American Water Company	Officer	Vice President, External Affairs
Vallejo, Edward D.	American Water Works Company, Inc.	Officer	Vice President of Financial Planning and Investor Relations
Vallejo, Edward D.	American Water Works Service Company, Inc.	Director	Director
Vallejo, Edward D.	American Water Works Service Company, Inc.	Officer	Vice President - Investor Relations
Vallejo, Edward D.	California-American Water Company	Director	Director
Wilde, John	Environmental Disposal Corp.	Officer	Assistant Treasurer
Wilde, John	Indiana-American Water Company, Inc.	Officer	Assistant Comptroller
Wilde, John	Kentucky-American Water Company	Officer	Assistant Comptroller
Wilde, John	Michigan-American Water Company	Officer	Assistant Controller
Wilde, John	Tennessee-American Water Company	Officer	Assistant Treasurer
Wilde, John R.	AAET, INC.	Officer	Assistant Comptroller
Wilde, John R.	American Lake Water Company	Officer	Assistant Comptroller
Wilde, John R.	American Water (USA), Inc.	Officer	Assistant Comptroller
Wilde, John R.	American Water Canada Corp.	Officer	Assistant Comptroller
Wilde, John R.	American Water Capital Corp.	Officer	Vice President and Comptroller
Wilde, John R.	American Water Carbon Services Corp.	Officer	Assistant Comptroller
Wilde, John R.	American Water Enterprises Holding, Inc.	Officer	Assistant Comptroller
Wilde, John R.	American Water Enterprises, Inc.	Officer	Assistant Comptroller
Wilde, John R.	American Water Military Services, LLC	Officer	Assistant Comptroller
Wilde, John R.	American Water Operations and Maintenance, Inc.	Officer	Assistant Comptroller
Wilde, John R.	American Water Resources Holdings, Inc.	Officer	Assistant Comptroller
Wilde, John R.	American Water Works Service Company, Inc.	Officer	Assistant Controller
Wilde, John R.	AWI, Inc.	Officer	Assistant Controller
Wilde, John R.	Bluefield Valley Water Works Company	Officer	Assistant Comptroller
Wilde, John R.	California-American Water Company	Officer	Assistant Controller
Wilde, John R.	Edison Water Company	Officer	Assistant Comptroller
Wilde, John R.	Hawaii-American Water Company	Officer	Assistant Comptroller
Wilde, John R.	Illinois-American Water Company	Officer	Assistant Comptroller
Wilde, John R.	Laurel Oak Properties Corporation	Officer	Assistant Comptroller
Wilde, John R.	Liberty Water Company	Officer	Assistant Comptroller
Wilde, John R.	Maryland-American Water Company	Officer	Assistant Comptroller
Wilde, John R.	Mt. Ebo Sewage Works, Inc.	Officer	Assistant Comptroller
Wilde, John R.	New Jersey-American Water Company, Inc.	Officer	Assistant Comptroller
Wilde, John R.	New York American Water Company, Inc.	Officer	Assistant Comptroller
Wilde, John R.	Pennsylvania-American Water Company	Officer	Assistant Comptroller
Wilde, John R.	Virginia-American Water Company	Officer	Assistant Comptroller
Wilde, John R.	West Virginia-American Water Company	Officer	Assistant Comptroller
Witherspoon, Charles	American Water Capital Corp.	Officer	Assistant Treasurer
Witherspoon, Charles	American Water Works Service Company, Inc.	Officer	Assistant Treasurer
Witherspoon, Charles	California-American Water Company	Officer	Assistant Treasurer
Witherspoon, Charles	Edison Water Company	Officer	Assistant Treasurer
Witherspoon, Charles	Hawaii-American Water Company	Officer	Assistant Treasurer
Witherspoon, Charles	Liberty Water Company	Officer	Assistant Treasurer
Witherspoon, Charles	Mt. Ebo Sewage Works, Inc.	Officer	Assistant Treasurer
Witherspoon, Charles	New Jersey-American Water Company, Inc.	Officer	Assistant Treasurer
Witherspoon, Charles	New York American Water Company, Inc.	Officer	Assistant Treasurer
Witherspoon, Charles	Pennsylvania-American Water Company	Officer	Assistant Treasurer

Schedule E-4 Attachment
CALIFORNIA AMERICAN WATER - SHARED DIRECTORS AND OFFICERS AS OF MAY 19, 2017
Per Affiliate Transaction Rule IV.C

Personnel Name	Business Entity	Title Role	Title
Witherspoon, Charles Jr.	Bluefield Valley Water Works Company	Officer	Assistant Treasurer
Witherspoon, Charles Jr.	Maryland-American Water Company	Officer	Assistant Treasurer
Witherspoon, Charles Jr.	Virginia-American Water Company	Officer	Assistant Treasurer
Witherspoon, Charles Jr.	West Virginia-American Water Company	Officer	Assistant Treasurer

**CLASS A, B, C AND D WATER COMPANIES
SAFE DRINKING WATER BOND ACT/STATE REVOLVING FUND DATA**

Please provide the following information relating to each Safe Drinking Water Bond Act (SDWBA) or Safe Drinking Water State Revolving Fund loan surcharge collection for the calendar year. Please use one page per loan.

1. Current Fiscal Agent:

Name:	<u>Wells Fargo Corporate Trust Services</u>
Address:	<u>333 Market Street, San Francisco CA</u>
Phone Number:	<u>415-371-3400</u>
Account Number:	<u>82295700</u>
Date Hired:	<u>September 2010</u>

2. Total surcharge collected from customers during the 12 month reporting period:

Meter Size	No. of Metered Customers	Monthly Surcharge Per Customer
3/4 inch		
1 inch		
1 1/2 inch		
2 inch		
3 inch		
4 inch		
6 inch		
Number of Flat Rate Customers	47	16.62
Total	47	16.62

3. Summary of the bank account activities showing:

Balance at beginning of year	<u>\$13,306</u>
Deposits during the year	<u>10,179</u>
Interest earned for calendar year	
Withdrawals from this account	<u>(9,249)</u>
Balance at end of year	<u>14,236</u>

4. Reason or Purpose of Withdrawal from this bank account:

Loan payment

**FOR ALL WATER COMPANIES
SAFE DRINKING WATER BOND ACT/STATE REVOLVING FUND DATA (Continued)**

5. Plant amounts included in Schedule A-1a, Account No. 101--Water Plant in Service which were funded using SDWBA or SRF funds:

Line No.	Acct. No.	Title of Account (a)	Balance Beginning of Year (b)	Plant Additions During Year (c)	Plant Retirements During Year (d)	Other Debits* or (Credits) (e)	Balance End of Year (f)
		NON-DEPRECIABLE PLANT					
1	301	Intangible plant					
2	303	Land					
3		Total non-depreciable plant					
4		DEPRECIABLE PLANT					
5	304	Structures	21,303				21,303
6	307	Wells					
7	317	Other water source plant					
8	311	Pumping equipment	16,502				16,502
9	320	Water treatment plant	124,714				124,714
10	330	Reservoirs, tanks and sandpipes	185,070				185,070
11	331	Water mains	67,713				67,713
12	333	Services and meter installations					
13	334	Meters					
14	335	Hydrants					
15	339	Other equipment					
16	340	Office furniture and equipment					
17	341	Transportation equipment					
18		Total depreciable plant					
19		Total water plant in service	415,302				415,302

DECLARATION

(PLEASE VERIFY THAT ALL SCHEDULES ARE ACCURATE AND COMPLETE BEFORE SIGNING)

I, the undersigned Richard Swindland
Name of District Manager or Equivalent (Please Print)

of Water Report for All Districts District
Name of District

of California-American Water Company
Name of Utility

at 655 West Broadway, Suite 1410, San Diego, CA 92101
Address of District Office

under penalty of perjury do declare that this report has been prepared by me, or under my direction, from the books, papers and records of the respondent; that I have carefully examined the same, and declare the same to be a complete and correct statement of the business and affairs of the above-named respondent and the operations of its property for the period of January 1, 2016, through December 31, 2016.

President
Title (Please Print)

[Signature]
Signature

619-446-4761
Telephone Number

5/30/17
Date

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Other Attachments

California American Water
GO 103A Customer Service Performance Measures
 Companywide Information 2016

Performance Standards	Performance Measure	2016
Telephone Performance		
Total Calls Received		157,648
Total Calls Answered in 30 seconds		150,987
% of Calls Answered in 30 seconds	≥ 80%	96%
Total Abandoned Calls		6,661
% Abandoned Call Rate	≤ 5%	4%
Billing		
Total Bills Rendered		2,150,183
Total Bills Rendered in 7 days		2,075,013
% Bills Rendered in 7 days	≥ 99%	97%
Total Inaccurate Bills		11,985
% of Inaccurate Bills	≤ 3%	0.55%
Total Payments Posted		1,840,408
Total Errored Payments		7,681
% Payment Posting Error	≤ 1%	0.43%
Total Number of Final Bills		22,197
Final Bills Issued after 14 days		2,525
% Final Read and Final Bil Issued after 14 days	≤ 14 Days	11%
Meter Reading		
Total Scheduled Actual Meter Reads		2,081,730
Total Estimated Meter Reads		32,742
% Scheduled Meters not Read	≤ 3%	1.60%
Work Order Completion		
% Total Customer Met Appointments	≥ 95%	97%
% Total Missed Customer Appointments	≤ 5%	3%
Total Scheduled Work Orders Customer Requested		89,929
Total Completed Work Orders as Scheduled		85,699
Total Incomplete /Canceled Work Orders		4,230
% Customer Work Orders not Completed	≤ 5%	5.00%
Customer/Regulatory Complaints		
Total Number of Customers		177,614
# of CAB Formal and Informal Complaints		36
% Rate of Complaints to CAB	≤ .1%	0.02%

2016 California American Non-Revenue Water Update

The following provides California American's update on the many efforts completed or underway to reduce non-revenue water (NRW). This document reflects updates to the previously submitted Accomplishments / Planned Activities Document and the 2014 Non-Revenue Water Update, which was a part of the 2010 GRC. This 2016 update is being provided in writing consistent with last year's update.

Reduction Efforts / Activities as of December 2016:

State

- Continuation in the use of the American Water Works Association Water Audit Software: California American Water uses the water audit software to review and classify system losses as "real" or "apparent." In accordance with AWWA definitions, contributors to apparent losses include unauthorized consumption, meter inaccuracies, and data handling errors. Real losses are defined as the total system losses minus apparent losses. California American Water continues to update the AWWA audits for each district on an annual basis to track and report NRW.
- On-going investigation of active zero consumption accounts (apparent losses), as well as "inactive with consumption" accounts (real losses).
- Testing or replacement of production and customer meters on a schedule based on meter size (apparent losses).
- Prompt yet prudent repair of identified leaks, i.e. severity measured against the need to repair during regular vs. overtime hours (real losses).
- Continuation of valve and fire hydrant maintenance programs to assist in identifying leaks (real losses).

Southern Division

- Continued evaluation of large users to confirm proper meter application or the need for retrofit. Special attention paid to the top 250 residential users in the Ventura district. For these customers, real time meter flow devices were placed on properties on two occasions to check for both drought compliance and non-surfacing leaks (real and apparent losses).
- Ventura: A pilot program was implemented in 2016 that retrofitted a total of 1,288 customers, 1,199 residential and 89 commercial, with Advanced Metering Infrastructure

(AMI) technology. The pilot is a precursor to a full-scale retrofit requested in the 2018 rate case. Early returns from the program indicate that a number of potential ongoing homeowner and business leaks of five-gallons-per-hour may be occurring. (apparent losses)

- LA: Implementation of a pilot leak detection program in the Los Angeles District's Duarte system. Using pressure zone containment and sounding technology, the program has begun to identify leaks in the Southern California division's system that shows the highest lost water percentage (real losses).

Coastal Division

- Continued an Advanced Metering Infrastructure (AMI) project that began in 2014 with 200 customers converted to AMI providing the ability to monitor water usage on a daily basis including leak alerts when usage exceeds a predetermined daily limit, reducing the need to adjust customer bills and avoiding waste.
- Main Line Replacement –California American Water continued its main replacement project in the Seaside area, Carmel Valley, and Carmel-by-the-Sea. California American Water continues an aggressive main replacement program using its comprehensive planning study documents to target leak prone areas across the service territory.
- Service Line Replacement – All Polybutylene services have now been replaced, and the focus has turned to galvanized service lines, which also have a high leak rate when compared to copper or HPDE.
- Regulating and Altitude Valve Repair and Replacement – This effort continued through 2016.
- Unauthorized Consumption – California American Water, in cooperation with the Monterey Peninsula Water Management District ("MPWMD"), implemented an aggressive program to reduce unauthorized consumption. Aspects of the program require all contractors to provide a MPWMD permit prior to receiving a temporary construction meter. This program received additional attention in 2016 due to the historic drought in California and drought declaration by the Governor. A special hotline was developed in cooperation with MPWMD.

Northern Division:

- Our Operations team continues to identify suspected leak areas for investigation. We use a third party to conduct leak surveys. The survey identifies leaks on both the California American mains and on the customers' side of the system. Identified leaks on Cal Am pipe are repaired as soon as possible while customers are notified of identified

leaks on their service lines. Production meters are regularly verified at all production sites and are replaced where needed to assure continued accuracy.

- Customer metering completed in the Northern district has seen NRW has drop substantially, some of this is expected as nearly every service line in the Sacramento service area were touched to install meters. Many service leaks were found and repaired during this process. Engineering has completing UARL calculations to verify the NRW numbers within the systems. Rapid response to leaks in the system continued in efforts to acknowledge the historic drought.

Planned 2017-2018

- All Districts: Continuation of all the above activities.
- All Districts: Continuation of all IPs listed in the original document as approved in the 2015-17 GRC (real losses).
- Commencement of full AMI implementation, if authorized in the 2018-20 GRC, in all districts except Sacramento.
- LA: Continuation of the “System Improvements” IP in the Duarte System to allow for the eventual retirement of the Duarte/Bradbury Irrigation System.
- Monterey: Continued Main Replacement – California American Water has identified projects in Carmel Valley and Seaside that will target the replacement of leak prone water mains to reduce real losses.
- Monterey: SCADA Improvement – The Monterey SCADA system improvement project completed in 2016. This project has improved communication with remote site(s) and allow better control of facilities via cellular modems.

Long Term Plans

- LA: The eventual retirement of Duarte/Bradbury Irrigation System, within the 2015-17 rate cycle, will reduce undetected non-surfacing leakage and eliminate evaporation from open reservoirs. LA: Continued systematic replacement of aged mainlines per the Company’s Comprehensive Planning Study and Condition Based Assessment, notably in the division’s Los Angeles District.
- Sacramento – Reduced System Operating Pressures: We will consider installing VFD's and complete enhancements to our SCADA systems with the goal to reduce pressures. Sacramento will continue to look for places to insert VFD’s into our systems where they make sense for the business and the ratepayers. We will consider purchasing leak detection equipment and train staff to use this in conjunction with hydrant and valve inspections.