

NON-RECURRING CHARGES

Filing Requirements Checklist

(Applicable Regulation: 807 KAR 5:011, Section 10)

Case No. \_\_\_\_\_ Applicant Name \_\_\_\_\_ Received Date \_\_\_\_\_ Form Circulation Date \_\_\_\_\_

Instructions:

- 1) Each division noted by checkmark is to complete its review and pass on within two days of receipt.
- 2) This form is to list only the specific filing deficiencies as identified in the regulations. If additional information is needed, an information request must be issued.
- 3) Staff member should use initials and list date review is completed.
- 4) Return to Docket Section following review by all divisions.

Reviewed by following Divisions:

<u>Date</u>	<u>Staff Member</u>
_____	_____
_____	_____
_____	_____

Filings  
Financial Analysis  
Legal

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>
	<u>807 KAR 5:011:</u>	
Legal	Section 10(1)(b)	Is copy of public notice included?
Legal	Section 8	If copy of public notice is included, did it meet requirements?* (For sewers, direct mailing is required. See KRS 278.185)
Legal	278.180	Has 30 days' notice been given to the Commission? If no

Requirement Met		Waiver Requested	Approve Waiver?	
Yes	No		Yes	No

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
		effective date stated, advance notice not required.					
	<u>807 KAR 5:011</u>						
Legal	Section 10(1)(b)	Verification that notice made in accordance with Section 8.					
Legal	Section 10(4)	Statement by utility confirming that copy of filing was simultaneously sent to the Attorney General.					
Legal	Section 10(1)(f)	<del>If applicant is a water district, a statement from an authorized official of the district indicating the date the proposed rate adjustment was reported to the appropriate governing body and the date it presented testimony or is scheduled to present testimony to that governing body.</del> <b>*** No Longer Required ***</b>	n/a				
Financial Analysis	Section 10(1)	(a) Cost justification for each rate change proposed including all supporting documentation necessary to determine the reasonableness of the charge.					
Financial Analysis		(c) Statement explaining why proposed changes could not have been included in last rate case and why current conditions prevent deferring change until next rate case.					
Financial Analysis		(d) Impact statement identifying group of customers (both existing and potential) affected by proposed change.					
Financial Analysis		(e) Income statement and balance sheet for a recent 12-month period or an affidavit from a utility authorized representative attesting that the utility's income and balance sheet are on file with the Commission.					
Financial	Section 10(3)	(a) – (c) If the additional revenue to be generated from the					

Division  
Responsible

Law/Regulation

Filing Requirement

Analysis

proposed tariff revisions exceeds by five (5) percent the total revenues provided by all non-recurring charges for a recent twelve (12) month period, the utility must file, in addition to the information set out in subsection (1) of this section, the following: An absorption test showing that the additional net income generated by the tariff filing will not result in an increase in the rate of return (or other applicable valuation methods) to a level greater than that allowed in the most recent rate case. Any general rate increases received during the twelve (12) month period must be annualized.

Requirement Met		Waiver Requested	Approve Waiver?	
Yes	No		Yes	No

All filings with the Kentucky Public Service Commission which contain personal information must be redacted by the filer pursuant to 807 KAR 5:001 Sec. 4 (10). Filings which are not in compliance will be rejected.

Section 8 Notice If a utility has twenty or fewer customers or is a sewage utility, it shall mail a written notice to each customer no later than the date the tariff filing is submitted to the commission.

If a utility has more than twenty customers and is not a sewage utility, it shall provide notice by:

1. Including notice with customer bills mailed no later than the date the tariff filing is submitted to the commission;
2. Mailing a written notice to each customer no later than the date the tariff filing is submitted to the commission;
3. Publishing notice once a week for three (3) consecutive weeks in a prominent manner in a newspaper of general circulation in the utility's service area, the first publication to be made no later than the date the tariff filing is submitted to the commission; or
4. Publishing notice in a trade publication or newsletter delivered to all customers no later than the date the tariff filing is submitted to the commission.

A utility that provides service in more than one county and is not a sewage utility may use a combination of the above notice methods.

Each notice shall contain:

1. The proposed effective date and the date the proposed rates are expected to be filed with the commission;
2. The present rates and proposed rates for each customer classification to which the proposed rates will apply;
3. The amount of the change requested in both dollar amounts and percentage change for each customer classification to which the proposed rates will apply;
4. The amount of the average usage and the effect upon the average bill for each customer classification to which the proposed rates will apply;
5. A statement that a person may examine this tariff filing at the offices of (utility name) located at (utility address);
6. A statement that a person may examine this tariff filing at the commission's offices located at 211 Sower Boulevard, Frankfort, Kentucky, Monday through Friday, 8:00 a.m. to 4:30 p.m., or through the commission's website at <http://psc.ky.gov>;
7. A statement that comments regarding this tariff filing may be submitted to the Public Service Commission through its website or by mail to Public Service Commission, Post Office Box 615, Frankfort, Kentucky 40602;
8. A statement that the rates contained in this notice are the rates proposed by (utility name) but that the Public Service Commission may order rates to be charged that differ from the proposed rates contained in this notice;
9. A statement that a person may submit a timely written request for intervention to the Public Service Commission, Post Office Box 615, Frankfort, Kentucky 40602, establishing the grounds for the request including the status and interest of the party; and
10. A statement that if the commission does not receive a written request for intervention within thirty days of the initial publication or mailing of the notice, the commission may take final action on the tariff filing.