

# Public Service Commission Electronic Tariff Filing System -Filing Instructions-

## Introduction:

These instructions are for how to file a tariff using the Tariff Filing System (TFS).

Additional instructions are available on (1) how to register for an account to use the TFS and (2) how to monitor the status of a tariff filing.

If problems are encountered at any point during the filing process, please call the PSC and ask to speak to the Tariff Branch.

## Account Login Procedures:

After you have registered and your account has been authorized, you can login to the system by visiting the [PSC homepage](#) and clicking the "Login" button.

The screenshot shows the homepage of the Kentucky Public Service Commission. At the top, there is a banner for the 75th anniversary (1914-2009) with the text "75 Years of Serving the Commonwealth" and "KENTUCKY PUBLIC SERVICE COMMISSION". Below the banner is a navigation menu with items: "About the Commission", "Commission Records", "For Consumers", and "Utility Information". On the left side, there is a "Register :: Login" link with an arrow pointing to it. Below the navigation menu, there is a sidebar with links: "Small Utilities Assistance Division", "Meet the Commissioners", "Consumer Services", "Request PSC Records", "Call 811", and "Do Not Call Registry". The main content area features a "SMALL UTILITY ASSISTANCE DIVISION" header, a "A Welcome From Kentucky Public Service Commission" section with a photo of Chairman David Armstrong, and a "Type of Assistance" sidebar with links for "CONSUMER SERVICES", "ENGINEERING", "FEELINGS", "FINANCIAL", "LEGAL", and "HOMEPAGE".

<http://psc.ky.gov>

Filing procedures.

Enter your email and password -- then click "Login."



The screenshot shows the login page for the Kentucky Public Service Commission. It features the state seal on the left and the title "Kentucky Public Service Commission" in blue. Below the title are two input fields: "Username:" with the text "john.doe@ky.gov" and "Password:" with seven dots. A blue "Login" link is positioned below the password field. At the bottom, there is contact information for the commission and a copyright notice for 2008.

Once logged in you should see the following:



The screenshot shows the dashboard after logging in. It includes the state seal and the title "Kentucky Public Service Commission". On the left is a vertical menu with five items: "PSC Website", "Logout", "Secure Tariff Filing", "Outage Reporting", and "Secure Electronic Filing". To the right of the menu, the text reads "Commonwealth of Kentucky Public Service Commission E-Filing System" and "Use the MENU On the left to navigate to the application you wish to utilize." An arrow points from the "Secure Tariff Filing" menu item to the explanatory text. The footer contains the same contact information and copyright notice as the login page.

Click on the "Secure Tariff Filing" button to launch the electronic Tariff Filing System (TFS).

Now you should see the “Electronic Filing Center” screen as shown below:



Select the “Services” button and then click on the “Tariff Upload” button.

The next screen should be the “General Filing Information” page.

**General Filing Information.**

Please be aware that all filings processed through this system will become part of the official public case record. Please do not submit documents which contain confidential information in this manner.  
Select the Utility you are filing on behalf of. Use the filters to select the correct utility.

\* Denotes Required Field

Utility: 15800 Kentucky-American Water Company aka Kentucky American Water

Filer ID PSC Employee: DennisB.Kirtley

Filer Name\*  of Filers Company

On Behalf of:

E-mail Address

Address

City  State Zip

Phone Number\*

Case Number

Order Date  If this filing is in response to an order, please provide the case number and order date

Filing Type

Proposed Effective Date \*

Filing Description\*

(Enter A Brief General Description Of The Filing.)  
\*Not For Description Of Individual Documents.

Complete each of the data entry boxes on the page:

**Filer’s Company / Address:** Name and address of the filing entity.

**Filer Name:** Enter the name of the individual conducting the filing session.

**Phone Number:** Enter as (555) 555-5555.

**E-mail Address:** Denotes where the finalized documents should be sent.

**Case Number / Order Date:** If this filing is the result of a PSC Order, please provide the relative case number and order date.

**Filing Type:** Select from one of the available choices in the drop-down box.

**Proposed Effective Date:** Enter as mm/dd/yyyy

**Filing Description:** Enter a brief summary of the purpose of this filing.

Click the “Continue” button when all the information has been entered.

Your screen should now show a window similar to the following:

• Choose up to five files to upload at one time  
• Only PDF and XLS files will be accepted.

| File  | Type                                      | Confirm                             |
|---|---|-------------------------------------|
| 1 <input type="text"/> <input type="button" value="Browse..."/> | Contract <input type="button" value="v"/> | <input checked="" type="checkbox"/> |
| 2 <input type="text"/> <input type="button" value="Browse..."/> | Contract <input type="button" value="v"/> | <input checked="" type="checkbox"/> |
| 3 <input type="text"/> <input type="button" value="Browse..."/> | Contract <input type="button" value="v"/> | <input checked="" type="checkbox"/> |
| 4 <input type="text"/> <input type="button" value="Browse..."/> | Contract <input type="button" value="v"/> | <input checked="" type="checkbox"/> |
| 5 <input type="text"/> <input type="button" value="Browse..."/> | Contract <input type="button" value="v"/> | <input checked="" type="checkbox"/> |

You may repeat this step as needed to upload all files during one file session

This is the page where the documents included with the filing are uploaded.

Prior to beginning this step, please review the following guidelines and procedures regarding preparing your documents for the uploading process.

- Document Name:

Document names must not contain spaces or any special characters other than an “underscore” or the file upload process may fail.

A filing will generally consist of several types of documents such as a cover-letter, a tariff, and supporting documents. Each of these types of documents should be separated and individually named.

- Document Format:

Documents must be in a searchable portable document format (PDF).

While the most popular PDF software program is the Adobe product, there are other PDF software programs available.

If you have any questions about the naming or formatting of documents, please call the PSC and ask for the Tariff Branch or IT Branch.

Once your documents have been saved in accordance with the above guidelines, you can upload your documents into the system.

While on the screen shown below, you will need to click on the “Browse” button and find where you saved your documents on your computer.

| File                           | Type     | Confirm                             |
|--------------------------------|----------|-------------------------------------|
| <input type="text"/> Browse... | Contract | <input checked="" type="checkbox"/> |
| <input type="text"/> Browse... | Contract | <input checked="" type="checkbox"/> |
| <input type="text"/> Browse... | Contract | <input checked="" type="checkbox"/> |
| <input type="text"/> Browse... | Contract | <input checked="" type="checkbox"/> |
| <input type="text"/> Browse... | Contract | <input checked="" type="checkbox"/> |

After clicking the “Browse” button a popup window should appear so that you can navigate to the place where you saved your documents on your computer.

Look in: PSC Filings

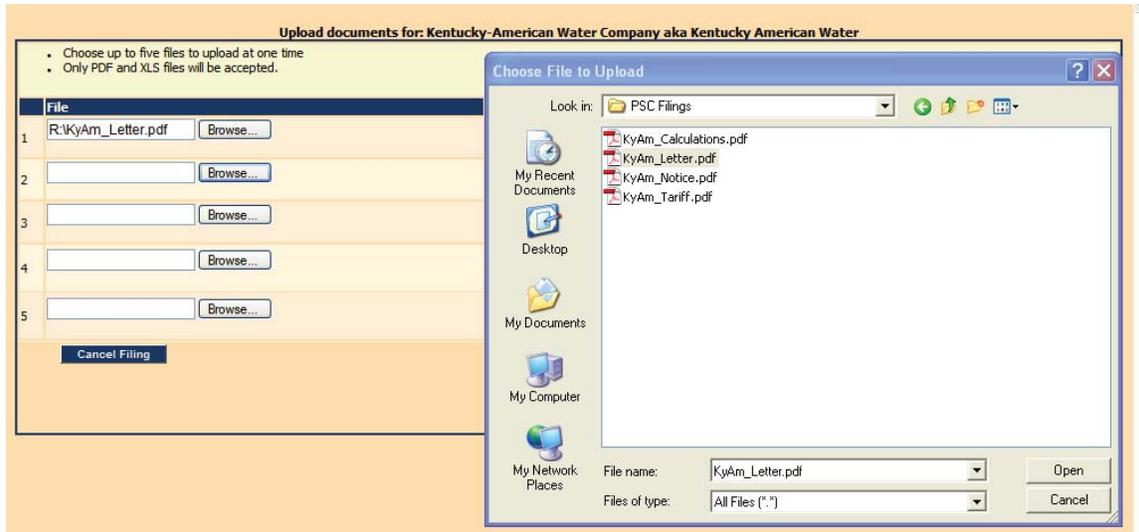
- KyAm\_Calculations.pdf
- KyAm\_Letter.pdf
- KyAm\_Notice.pdf
- KyAm\_Tariff.pdf

File name: KyAm\_Letter.pdf

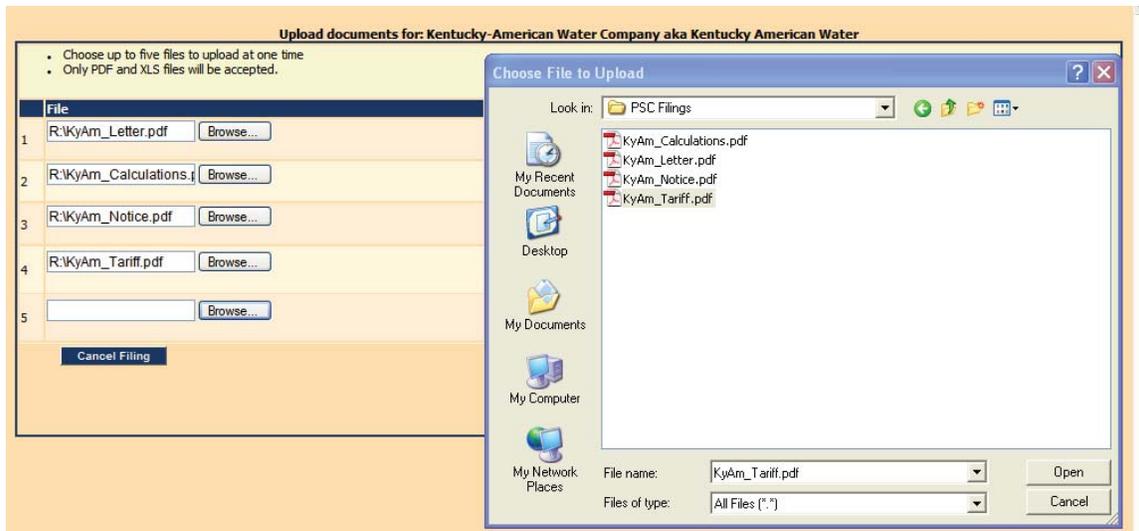
Files of type: All Files (\*.\*)

After navigating to the desired folder, select document(s) to be uploaded by single-clicking on each document name, then click the “Open” button at the bottom of the “Choose File” window.

After clicking the “Open” button, the file name should appear in the blank box to the left of the “Browse” button as shown below.



Repeat these steps so that each of your documents appear in one of the boxes next to one of the “Browse” buttons as shown below.



Now, for each of your documents to be uploaded, find the “Type” column and click on the drop-down menu to choose the document type.

Upload documents for: Kentucky-American Water Company aka Kentucky American Water

- Choose up to five files to upload at one time
- Only PDF and XLS files will be accepted.

| File  | Type     | Confirm                             |
|---|----------|-------------------------------------|
| 1 R:\KyAm_Letter.pdf <input type="button" value="Browse..."/>       | Contract | <input checked="" type="checkbox"/> |
| 2 R:\KyAm_Calculations.pdf <input type="button" value="Browse..."/> | Contract | <input checked="" type="checkbox"/> |
| 3 R:\KyAm_Notice.pdf <input type="button" value="Browse..."/>       | Contract | <input checked="" type="checkbox"/> |
| 4 R:\KyAm_Tariff.pdf <input type="button" value="Browse..."/>       | Contract | <input checked="" type="checkbox"/> |
| 5 <input type="text"/> <input type="button" value="Browse..."/>     | Contract | <input checked="" type="checkbox"/> |

You may repeat this step as needed to upload all files during one file session

The default is set to contract but you need to choose the appropriate type from the drop-down menu for your each of your documents.

See the example below for how the page should look after the documents have been properly labeled in the “Type” column.

Upload documents for: Kentucky-American Water Company aka Kentucky American Water

- Choose up to five files to upload at one time
- Only PDF and XLS files will be accepted.

| File  | Type             | Confirm                             |
|---|------------------|-------------------------------------|
| 1 R:\KyAm_Letter.pdf <input type="button" value="Browse..."/>       | Cover Letter     | <input checked="" type="checkbox"/> |
| 2 R:\KyAm_Calculations.pdf <input type="button" value="Browse..."/> | Support Document | <input checked="" type="checkbox"/> |
| 3 R:\KyAm_Notice.pdf <input type="button" value="Browse..."/>       | Support Document | <input checked="" type="checkbox"/> |
| 4 R:\KyAm_Tariff.pdf <input type="button" value="Browse..."/>       | Tariff           | <input checked="" type="checkbox"/> |
| 5 <input type="text"/> <input type="button" value="Browse..."/>     | Contract         | <input checked="" type="checkbox"/> |

You may repeat this step as needed to upload all files during one file session

Now you are ready to click on the “Upload These Files” button in the lower right hand corner of the page to electronically submit the documents.

After the initial batch of documents has been uploaded, an informational message will appear giving you the option to upload additional documents.

**Upload documents for: PSC**

- Choose up to five files to upload at one time
- Only PDF and XLS files will be accepted.

| File  | Type     | Confirm                             |
|---|----------|-------------------------------------|
| 1 <input type="text"/> <input type="button" value="Browse"/>    |          |                                     |
| 2 <input type="text"/> <input type="button" value="Browse"/>    |          |                                     |
| 3 <input type="text"/> <input type="button" value="Browse"/>    |          |                                     |
| 4 <input type="text"/> <input type="button" value="Browse..."/> | Contract | <input checked="" type="checkbox"/> |
| 5 <input type="text"/> <input type="button" value="Browse..."/> | Contract | <input checked="" type="checkbox"/> |

**Microsoft Internet Explorer**

Upload another set of documents or click 'COMPLETE FILING'

You may repeat this step as needed to upload all files during one file session

You shouldn't need to upload another set of documents unless your filing has more than 5 documents. If this isn't the case, just click "OK" in the message box for it to close.

On the lower right hand corner of the page click the "Complete Filing" button to finish uploading your documents.

**Uploaded this session**

| Document                  | Type         |
|---------------------------|--------------|
| <a href="#">Test1.pdf</a> | Cover Letter |
| <a href="#">Test2.pdf</a> | Tariff       |

**Note:** Your filing is not complete until you click "Complete Filing" at the bottom right of this screen.

When your files have been uploaded into the system, you should see a confirmation screen showing the documents that have been filed along with a tracking number such as TFS-2011-00001.

We recommend printing a copy of this screen as proof that your files were submitted.

You should now have successfully filed a tariff using the TFS.

The tariff review process generally takes around 30-days to complete, at which time you will be notified of the status of your filing.

Tariff filings are accepted, rejected, or suspended into a formal case for further review and investigation.

Accepted filings will be marked with the appropriate stamp showing the effective date (or received date for telecom filings).

If questions arise during the review process, staff will contact you and discuss your options for resolving any issues.

Please refer to "Monitoring Instructions" for directions on how to monitor the status of a tariff that has been filed with the PSC.

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Any questions regarding electronic filings to the TFS should be directed to the PSC Tariff Branch by calling 502-564-3940 or emailing [PSC.tariffs@ky.gov](mailto:PSC.tariffs@ky.gov).