Public Service Commission Electronic Case Filing Initiative Procedures and Guidelines

Revised 4/6/2016

Introduction:

The Public Service Commission has implemented a Web-based application for submitting electronic case filings. This system is intended to streamline the filing process and provide an enhanced search mechanism. Please be aware that one paper copy of your filing is required to be filed with the Commission, unless directed otherwise, or until such time as Kentucky statutes are revised, in order that we may accept electronic documents as the official record. Complete instructions on using the new e-filing application will be discussed further in this document.

Document Requirements

- Accepted Documents are either (PDF) format or (XLS)
- All "PDF" files should be searchable
- All "PDF" files should be "optimized"
- Include "bookmarks" at significant locations within 'PDF' documents
- A single document is limited to 50 MB in size.
- Documents do not contain any sensitive information.
- Document names do not contain spaces, quotes, ampersands or other "special" characters.

For additional information regarding Document Requirements – see Appendix Document Requirements.

Parties of record should note the following points

In addition to the primary documents to be filed, each filing must be accompanied by one additional document named "Read1st.pdf". This document should contain any information such as may usually be included in a filing cover letter, including a general description of the filing. It should note any materials not_included in the electronic filing, along with a statement attesting that the electronically filed documents are a true representation of the original documents to be filed with the Commission.

<u>Submitting Electronic Case File Documents (Parties of record only):</u>

In order for a party of record to submit electronic case filings the filer must have obtained an account ID and password.

If you do not have an Electronic Case Filling ID see: http://psc.ky.gov/agencies/psc/casefile/AccountRegistrationProcedures.pdf

Connect to the PSC Electronic Filing Center through the Commission's Web address at: http://psc.ky.gov.

Select the "Login" button just below the main menu.



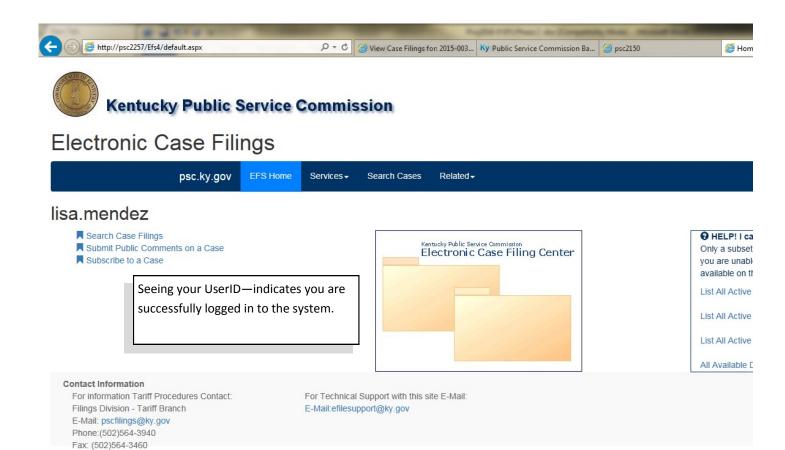


Enter your email and password and click "Login". Once logged in you will be presented with a menu, as seen below.



Click on the "**Secure Electronic Filing**" menu item to launch the Electronic Case Filing System.

The "Secure Electronic Filing" menu selection will place you at the "Electronic Filing Center" web page. See example below:



Initiate a new filing by choosing menu item: "Services" and submenu "Case File Upload".

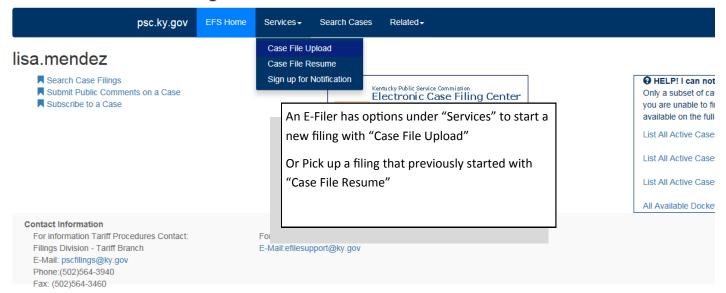
If a connection is lost before you can complete the filing; one can always return and choose "Services" "Case File Resume" to continue and complete the filing already started.

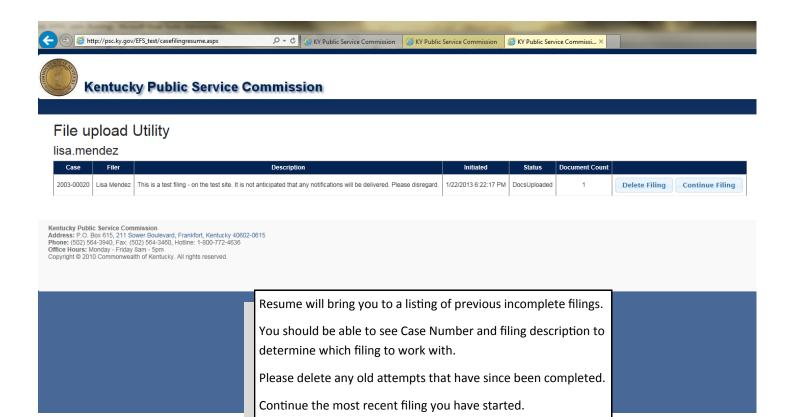




Kentucky Public Service Commission

Electronic Case Filings





Screen after choosing: "Services" and submenu "Case File Upload".

This screen is used to select the case for which you wish to submit electronic filings. You may select an individual case from the drop-down list in the "Case Number" window; or search for cases by using one, or both, of the "Company Name" or "Service Type" boxes. You may also obtain a listing of <u>all open cases</u> by leaving the search fields blank.

After entering your search criteria (or leaving all fields blank), click the "Filter" button to have the system perform your desired search. The results will be displayed in the scroll area <u>below</u> the "Filter" button. If a list of all open cases is returned, you may scroll to the case of interest or use your browser's "find" feature to search for any text contained in the displayed "Results List", below the "Filter" button.

If submitting an electronic filing for a case which is currently closed, please select the box titled "Include Closed Cases"

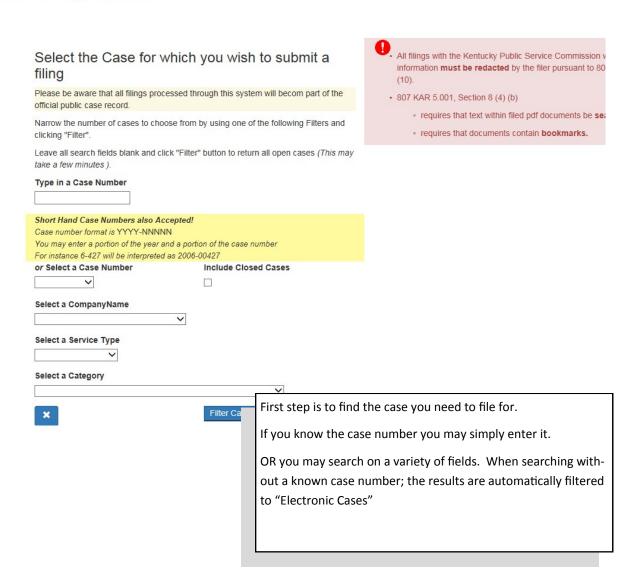


Electronic Case Filings

psc.ky.gov EFS Home Services → Search Cases Related →

Initiate a case filing record

lisa.mendez





Sample of searching for "Telecom"

When searching without a known case number; the results are automatically filtered to "Electronic Cases"

You may choose the Case Number to file for or the blue arrows to search again.

Public Service Commission

se Filings

osc.ky.gov EFS Home Services → Search Cases Related →

; filing record



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).

- 807 KAR 5.001, Section 8 (4) (b)
 - requires that text within filed pdf documents be searchable.
 - · requires that documents contain bookmarks.

+

Results Service Type: Telephone

Select the Case Number the filing is for

Case Number	Filed Date	Utilities	Category	Nature of the Case		Type of Utility Service	ClosedCase	ls Designated Electronic
2016- 00059	2/1/2016		Administrative		AN INQUIRY INTO THE STATE UNIVERSAL SERVICE FUND	Telephone		©
2015- 00283	8/14/2015	Birch Communications, Inc. , EarthLink Business, LLC , Level 3 Communications, LLC , Windstream Communications, LLC , XO Communications Services, LLC		Competitive Carriers of the South, Inc.	APPLICATION OF COMPETITIVE CARRIERS OF THE SOUTH, INC. FOR A DECLARATORY ORDER AFFIRMING THAT THE INTERCONNECTION REGIMES UNDER KRS 278.530 AND 47 U.S.C. § 251 ARE TECHNOLOGY NEUTRAL	Telephone		ଞ
2015- 00227	7/8/2015	BellSouth Telecommunications, LLC dba AT&T Kentucky and AT&T Southeast	Regular		APPLICATION OF BELLSOUTH TELECOMMUNICATIONS, LLC FOR DECLARATORY ORDER REGARDING INTERCONNECTION WITH CENTRAL KENTUCKY NETWORK FOR 911/E911 SERVICES TO PUBLIC SAFETY ANSWERING POINTS	Telephone		୯





Sample of searching for case: 2016-00123.

When searching with a known case number; the case details are always returned for a valid case.

Notice this sample returned is NOT an electronic case. The case number is NOT a link to initiate a filing.

Public Service Commission

se Filings



; filing record



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

- 807 KAR 5.001, Section 8 (4) (b)
 - · requires that text within filed pdf documents be searchable.
 - requires that documents contain bookmarks.



Results 2016-00123

Select the Case Number the filing is for

Case Number	Filed Date	Utilities	Category	Nature of the Case	Style of the Case	Type of Utility Service	ClosedCase	ls Designated Electronic
2016-		Nexus		Request to	REQUEST OF NEXUS COMMUNICATIONS, INC., TO			
00123	3/18/2016	Communications,	Regular	Relinquish ETC	RELINQUISH ELIGIBLE TELECOMMUNICATIONS	Telephone		
00123		Inc.		Designation	CARRIER DESIGNATION			



ures Contact:

For Technical Support with this site E-Mail:

E-Mail:efilesupport@ky.gov

 Once a case is selected—

Store basic information about the filing types, you - the filer, who you are filing for and provide a description of the filing.

When you are satisfied with your entries—click "Initiate Filing"



Kentucky Public Service Commission

Electronic Case Filings

psc.ky.gov EFS Home Services → Search Cases Related →

Initiate a filing record for case: 2003-00020

lisa.mendez

Case Number: 2003-00020
Service Type: Not Specified
Filing Date: 4/6/2010
Case is CLOSED
Category: Test
Utilities:
Anderson Oil & Gas

Case Nature:
Testing the Web Reports

Filing Type Additional Information Affidavit Amended Application Annual Report Full Name Full Name of the Filer On Behalf Of Filing on behalf of Filing Description Enter a brief general description of the filing - NOT a description of individual documents.

Effect a brief general description of the litting - No 1 a description of individual documents

Initiate Filing

Contact Information

For information Tariff Procedures Contact: Filings Division - Tariff Branch E-Mail: pscfilings@ky.gov Phone:(502)564-3940 Fax: (502)564-3460 For Technical Support with this site E-Mail:

E-Mail:efilesupport@ky.gov

Either saving a new filing record—or—

Choosing a filing to continue will bring you to the upload screen.

In the case of "resume" any documents previously uploaded will be listed.

The filename is a link to the uploaded document. Test the link works to ensure that the upload was complete.

Use the "Add Files" button to select additional documents to include with this filing.



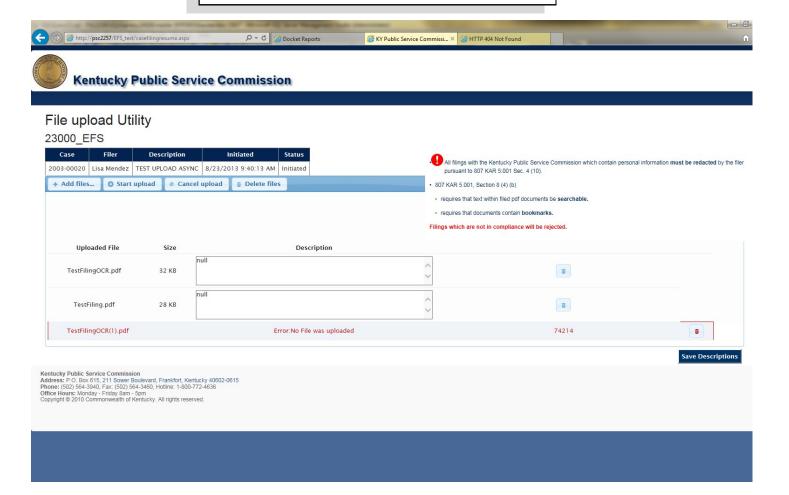
File upload Utility

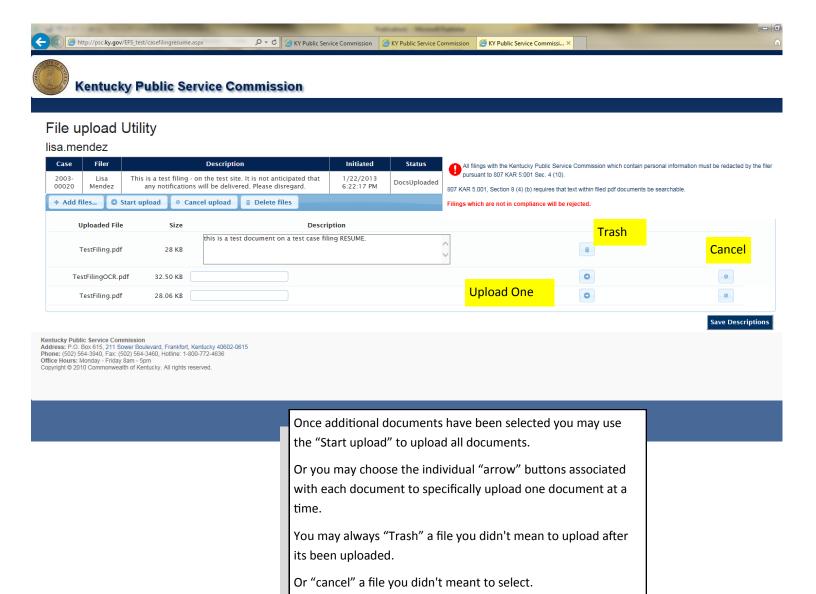
lisa.mendez



Kentucky Public Service Commission
Address: P.O. Box 615, 211 Sower Boulevard, Frankfort, Kentucky 40602-0615
Phone: (502) 564-3940, Fax: (502) 564-3460, Hotline: 1-800-772-4636
Office Hours: Monday - Friday 8am - 5pm
Copyright ⊚ 2010 Commonwealth of Kentucky. All rights reserved.

TIP—if you enter and see records of files that didn't succeed in the upload—delete that item with the trash can icon—before uploading its replacement.









Kentucky Public Service Commission

File upload Utility

lisa.mendez



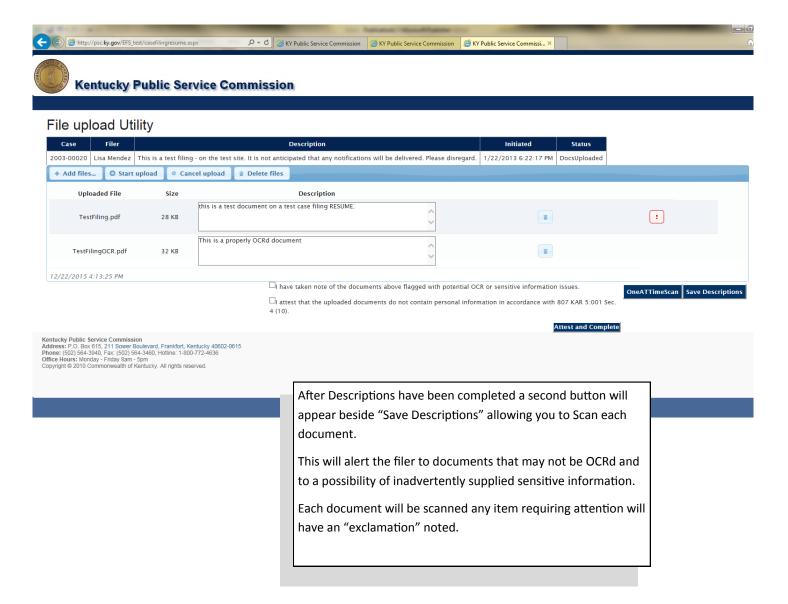
Kentucky Public Service Commission
Address: P.O. Box 615, 211 Sower Boulevard, Frankfort, Kentucky 40602-0615
Phone: (502) 564-3940, Fax: (502) 564-3460, Hotline: 1-800-772-4636
Office Hours: Monday - Friday 8am - 5pm
Copyright ⊚ 2010 Commonwealth of Kentucky. All rights reserved.

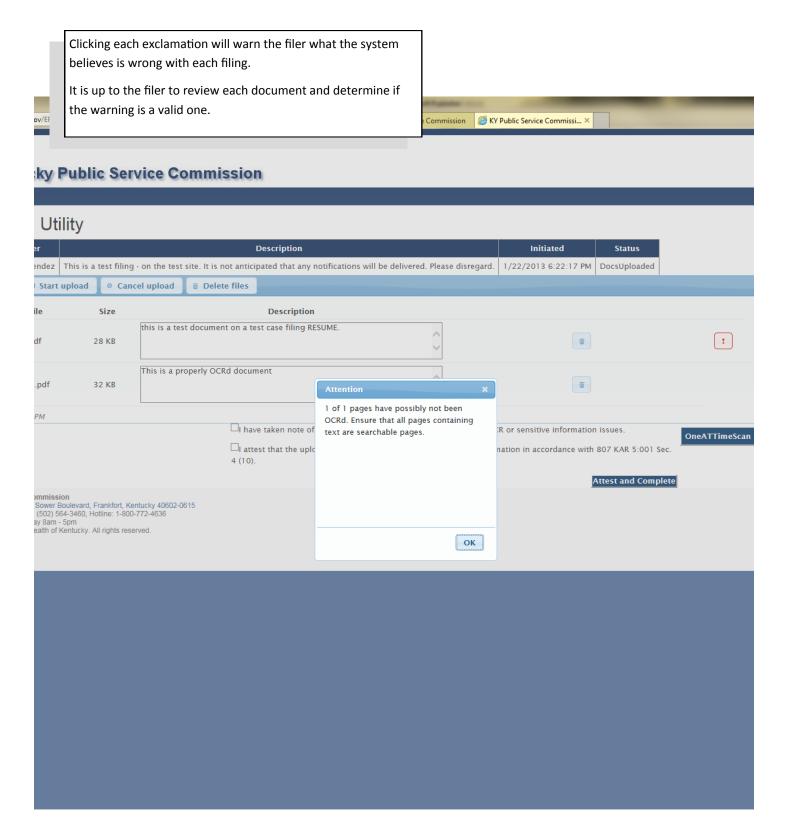
N

Next supply a description for each document.

When all documents have descriptive text click "Save Descriptions"

If the description field still contains "(Describe File)" You will not move on to the next step.







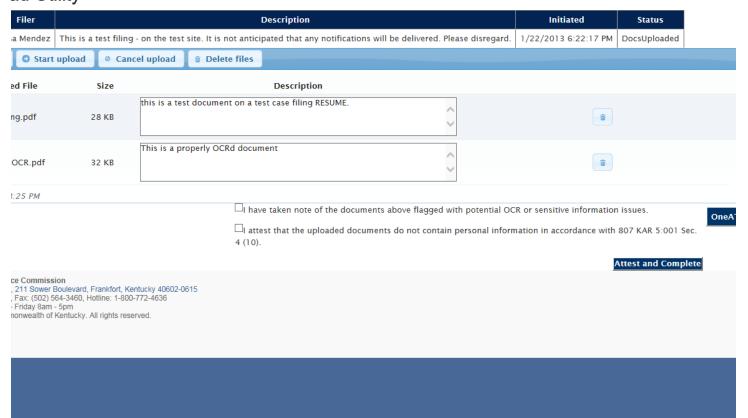
If there have been any potential issues raised you must check that you have investigated.

You must check that you attest the documents contain no sensitive information.

Click "Attest and Complete"

ucky Public Service Commission

ad Utility



After you elect to "Complete the Filing", you should receive the following confirmation screen. You should print and save a copy of this screen as proof that your files were submitted, along with the automated e-mail response you will receive from pscfilings@ky.gov

<u>Important:</u> Please **print** this confirmation screen or your confirmation e-mail <u>message</u> and **attach it to the front of the required paper copy**. The printed confirmation will inform our Docket Control staff that the documents are associated with an electronically filed case and have been previously electronically filed, as required.



Kentucky Public Service Commission

Electronic Filing Home

Filing Receipt

Print this webpage as a receipt. Include as a cover sheet with your hard copy original documents which must be received within 2 business days.

Case	Filer	Descrip	tion	Posted	Status
2003-00020	lisa testing	This is a test filing between	one of two applications	4/6/2016 3:37:21 PM	Posted
Uploaded File		Size		Description	
Test_do	cument.pdf	21 KB	This is a test d	ocument. Picked up via F	Resume.

Kentucky Public Service Commission
Address: P.O. Box 615, 211 Sower Boulevard, Frankfort, Kentucky 40602-0615
Phone: (502) 564-3940, Fax: (502) 564-3460, Hotline: 1-800-772-4636
Office Hours: Monday - Friday 8am - 5pm
Copyright © 2010 Commonwealth of Kentucky. All rights reserved.

What do the "warnings" mean?

Each document is attempted to be read by at least one PDF reader during the "Scan". This is meant to be a help to draw your attention to potential issues. The tool is not a definitive acceptance indicator.

"X of Y pages may not be OCRd" This message is stating the count of pages (X) out of the total number of pages (Y) might not be OCRd. The program tried to read text and search for common words like "the" and "Kentucky". Its highly possible that a page may contain searchable text but not any of the common words. The page may legitimately not have text such as a picture, map, or divider page. If the number of non OCRd pages equals the total number of pages in the document. Stop and check if the document is searchable. The easiest test is to do a "FIND" for any word you see.

"Ensure no sensitive text" This message indicates the program has read a word like "social"; "payroll"; "tax" or "account". Please check the document to make sure no private information is un-intentionally submitted.

Appendix Document Requirements

Electronically filed documents should consist of the two following file formats; "Adobe Acrobat portable document format (PDF)" for all text documents, and Microsoft Excel format (XLS) for all exhibits, supporting schedules and appendices requiring spreadsheet functionality. In addition to their native format, each spreadsheet should be submitted in "PDF" format for shared, "read only" access. Excel spreadsheets must be self-contained and not contain any linked references or macro commands involving external files.

All "PDF" files should be searchable. This can be accomplished by one of the two following methods: Installation of "Adobe Acrobat" software enables MS Word or WordPerfect documents to be 'printed' to 'PDF' format, creating a searchable output document. As an alternative, documents may be scanned and converted to searchable 'PDF' by processing the scanned pages through Adobe Acrobat's "OCR" feature, which converts scanned pages to searchable text. Please note that documents must be scanned at a resolution between 200 and 300 dpi. Selecting a scanner resolution of less than 200 dpi will not allow the Acrobat "OCR" feature to function, while resolution of over 300 dpi results in an excessively large document size. There are also other software products, which create 'PDF' documents, however Commission staff is most familiar with operation of the Adobe product.

All "PDF" files should be "optimized" for viewing over the Internet. When a non-optimized 'pdf' document is accessed via the Internet, the browser attempts to download the entire document before displaying any of the text. For large documents or slow Internet connections, this can result in an extremely long wait period before the document will open. To address this performance issue, documents should be "optimized" for efficient downloading. When optimized, the browser will start displaying the first page as it is downloaded, allowing the user to begin reading the document shortly after the download starts, while the remainder of the document finishes downloading in the background. See the companion document titled "Optimizing PDF Documents" for complete instructions on the optimization process.

As a research aid, parties should include "bookmarks" at significant locations within 'PDF' documents. Responses to requests for production of documents, interrogatories, or information requests, would be particularly appropriate for utilization of the "bookmarking" feature. Creation of "bookmarks", are a feature of the Adobe Acrobat software and may be created with very little effort on the part of the preparer.

When possible, filers should make every reasonable effort to limit the size of individual documents, within a filing, to a maximum size of approximately 50 megabytes. This suggested size limitation is made in order to accommodate downloading by persons having limited bandwidth Internet connections, as one objective of electronic filing is to make information readily available to the

general public, through our web site. Parties wishing to file electronic documents of extremely large size not conducive to electronic transfer, may, with the permission of the Commission, deliver those documents on CD. However, an accompanying electronic filing must be submitted containing a reference, within the "Read1st" document to the fact that a CD was delivered at the time of delivery of required paper copies.

Document Naming Conventions:

The following document naming conventions should be followed. Proposed deviations from these conventions should be brought to the attention of the PSC Docket Control Branch for consideration, as to adding them to our published standards. Document names <u>must not contain spaces or any special characters</u>, other than an "underscore", therefore, we suggest using the "underscore" character in lieu of a space character within a document name. Use of special characters (such as "&") in document names will cause the file upload process to fail.

The following naming conventions have been identified and approved thus far and should generally consist of the following parts:

- 1. Nature of the document.
 - (Example: R_PSCDR1 = Reply to PSC Data Request #1)
- 2. If testimony, Initials of testifier.
 - (Example: DT_jhd = Direct testimony of John H. Doe).
- 3. If an exhibit, schedule or appendix to testimony, Identify as "EX1", "SCH1" or "APXA".
 - (Example: DT_ihd_APXa = Appendix A to Direct Testimony of John H. Doe).
- 4. Date which document was filed, formatted as mm/dd/yy.
 - (Example: 042100 = April 21, 2000).
- 5. Document name extension denoting document format.
 - Should be ".pdf" in most cases, except for spreadsheet attachments which may be ".xls".
 - ("PDF" denotes Adobe Acrobat format, "XLS" denotes Microsoft Excel spreadsheet.)

- 6. MAP_ServArea_041402 Non-classified map of service area boundary.
- 7. CMAP_ElectTrans_041402.pdf "Classified" map of electric transmission facility.

(See section titled "Filing Classified Documents" for a detailed discussion of filing documents which could have an impact on infrastructure or national security.)

<u>Please note</u>: It is no longer <u>required</u> that your document names contain a prefix identifying your company or organization, however you may continue to utilize a prefix in your document names if you so choose.

Several examples follow:

KAW_read1st_041300.pdf – Read first document for Ky. American's April 13, 2000 filing.

AGKY_read1st_041400.pdf – Read first document for Atty. General's April 14, 2000 filing.

KAW_app_041300.pdf - Application of Ky. American Water Company

KAW_R_PSCDR1_041400.pdf - Ky. American response to PSC data request #1.

KAW_R_PSCDR1#48_041500.pdf - Ky. American response to PSC data request #1, question 48.

KAW_UR_PSCDR1#49_041500.pdf – Updated Ky. American response to PSC data request #1, question 49.

AGKY_R_PSCDR1_041600.pdf – Atty. General's response to PSC data request #1.

AGKY_R_KAWDR1_041600.pdf – Atty. General's response to Ky. American data request #1.

KAW_M_041800.pdf – Ky. American "Motion" filed on April, 18, 2000. (If filing more that one motion on a given day please identify as "M1, M2, M3…)

AGKY_B_041300.pdf – Atty. General's brief of April 13, 2000.

KAW_RB_041400.pdf – Ky. American reply brief of April 14, 2000

KAW_DT_cdb_042200 - Ky. American Direct Testimony of Coleman D. Bush.

KAW_DT_cdb_EX1_042200.xls – Bush testimony Exhibit #1, Excel spreadsheet.

SCH1 - Testimony Schedule #1, Excel spreadsheet.