

**CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY - CONSTRUCTION**

Filing Requirements Checklist

(Applicable Authority: KRS 278.020(1), KRS 322.340, 807 KAR 5:001, Sections 4, 7, 14 and 15(2))

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	_____	_____
_____ Engineering	_____	_____
_____ Legal	_____	_____

<u>Division Responsible</u>	<u>Law/Regulation</u>	<u>Filing Requirement</u>	<u>Requirement Met</u>		<u>Waiver Requested</u>	<u>Approve Waiver?</u>	
			Yes	No		Yes	No
	<u>807 KAR 5:001:</u>						
Filings	Section 14(1)	Full name, mailing address and e-mail address of applicant and a reference to KRS 278.020(1).					
Filings	Section 7(1)	The application and 10 copies of the application					
Legal	Section 4(3)	Paper signed by submitting party or attorney.					
Legal	Section 4(3)	Name, address, telephone number, fax number, and e-mail					

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
		address of submitting party or attorney.					
Legal	Section 4(10)	Has submitting party redacted –  - All social security numbers  - All birthdates  - All financial account numbers  - All other personal identification information					
Legal	Section 8(4)(b)	Has submitting party optimized pdf document –  - Making all text pages searchable or OCR'd  - Bookmarks added to distinguish sections of the paper					
Legal	Section 14(2)	If a corporation, the applicant shall identify in the application the state in which it is incorporated and the date of its incorporation, attest that it is currently in good standing in the state in which it is incorporated, and, if it is not a Kentucky corporation, state whether it is authorized to transact business in Kentucky.					
Legal	Section 14(3)	If a limited liability company, the applicant shall identify in the application the state in which it is organized and the date on which it was organized, attest that it is in good standing in the state in which it is organized, and, if it is not a Kentucky limited liability company, state whether it is authorized to transact business in Kentucky.					

Division Responsible	Law/Regulation	Filing Requirement	Requirement Met		Waiver Requested	Approve Waiver?	
			Yes	No		Yes	No
Legal	Section 14(4)	If the applicant is a limited partnership, a certified copy of its limited partnership agreement and all amendments, if any, shall be annexed to the application, or a written statement attesting that its partnership agreement and all amendments have been filed with the commission in a prior proceeding and referencing the case number of the prior proceeding.					
Engineering	Section 15(2)	(a) The facts relied upon to show that the proposed construction or extension is or will be required by public convenience or necessity.					
Engineering & Legal		(b) Copies of franchises or permits, if any, from the proper public authority for the proposed construction or extension, if not previously filed with the commission.					
Engineering		(c) A full description of the proposed location, route, or routes of the proposed construction or extension, including a description of the manner in which same will be constructed, and the names of all public utilities, corporations, or persons with whom the proposed construction or extension is likely to compete.					
Engineering		(d)(1) Three (3) copies (one (1) in portable document format on electronic storage medium and two (2) in paper medium) of maps to suitable scale showing the location or route of the proposed construction or extension, as well as the location to scale of like facilities owned by others located anywhere within the map area with adequate identification as to the ownership of the other facilities.					
Engineering		(d)(2) Plans and specifications and drawings of the proposed plant, equipment, and facilities.					

Division  
Responsible

Law/Regulation

Filing Requirement

Requirement  
Met

Waiver  
Requested

Approve  
Waiver?

Yes	No		Yes	No

Financial  
Analysis

(e) The manner in detail in which the applicant proposes to finance the proposed construction or extension.

Financial  
Analysis

(f) An estimated annual cost of operation after the proposed facilities are placed into service.

Engineering

KRS 322.340

Engineering plans, specifications, drawings, plats and reports for the proposed construction or extension prepared by a registered engineer, must be signed, sealed, and dated by an engineer registered in Kentucky.