

**CERTIFICATE OF PUBLIC CONVENIENCE AND NECESSITY - FEDERALLY FUNDED CONSTRUCTION PROJECTS**

Filing Requirements Checklist

(Applicable Authority: KRS 278.023, KRS 322.340, 807 KAR 5:001, Section 4, 7(1), 14 and 807 KAR 5:069)

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

Instructions:

- 1) Each division noted by checkmark ( ) is to complete its review and return within three business 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 by email to Filings Branch following review and copy all Team members.**

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>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 278.023.					
Legal	Section 4(3)	Paper signed by submitting party or attorney.					
Legal	Section 4(3)	Name, address, telephone number, fax number, and e-mail address of submitting party or attorney.					



Analysis	stating approval of the project and including all terms and conditions of the agreement, including all amendments				
Financial Analysis	(3) A copy of the letter of concurrence in contract award.				
Financial Analysis	(4) A copy of the preliminary and final engineering reports and bid tabulations				
Legal	(5) One (1) copy of each set of plans and specifications on electronic storage medium in portable document format.				
Legal	(6) Certified statement from an authorized utility official confirming:				
Legal	(a)(1) If the construction project involves facilities to treat or distribute water a statement that the proposed plans and specifications for the project have been designed to meet the minimum construction and operating requirements set out in 807 KAR 5:066, Section 4(3) and (4), Section 5(1), Sections 6 and 7, Section 8(1) through (3), Section 9(1) and Section 10				
	(a)(2) If the construction project involves facilities to collect or treat sewage a statement that the proposed plans and specifications for the project have been designed to meet the minimum construction and operating requirements set out in 807 KAR:071, Section 5 and Sections 7(1) through (3)				
Legal	(b) That all other state approvals or permits have been obtained;				
Financial Analysis	(c) That the proposed rates, if any. shall produce the total revenue requirements recommended in the engineering reports; and				
Financial Analysis	(d) Dates upon which construction will begin and end.				
Legal	(7) If applicable, a statement that notice meeting the requirements of Section 3 of this administrative regulation has been given, together with a copy of the notice;*				
Financial Analysis	(7) A copy of the notice shall be included in the application if a rate adjustment is requested.				

Legal

(8) If applicable, a motion requesting approval to deviate from a minimum construction standard or operating condition required by subsection (6)(a) of this section, together with supporting evidence to identify and explain the reasons that the minimum requirements cannot be met
