Public Service Commission
Electronic Case Filing Initiative
Procedures and Guidelines

Revised 05/02/06
(David McDowell / Lisa Welch)

Introduction:

The Public Service Commission has implemented a Web-based application for submitting electronic case filings. This system is intended to streamline and further automate the filing process, provide an enhanced search mechanism, and provide a method for accepting public comments regarding active cases. 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. First, we will address some preliminary information regarding notification procedures and electronic document formats.

Web Browser Compatibility / System Requirements and Settings:

This application has been designed to work with Microsoft Internet Explorer, versions 5.5 and 6.0 (with service pack 1). Netscape browsers may not function properly with this application and PSC support for the Netscape product is limited. Therefore, filers are advised to use one of the recommended Microsoft Internet Explorer versions. The minimum recommended computer configuration for this application is a Pentium II processor with 256 megabytes of ram. However, better performance may result from a faster processor and 512 megabytes of ram, depending on the size of documents to be transferred.

The following steps should be taken to ensure correct web browser functionality for executing the E-Filing application:

1. Open your Internet Explorer browser.
   Click “Tools” from the top menu bar.
   Choose “Internet Options” from the drop-down list.

   A. Choose the “General” tab.
      Click the “Settings” button in the “Temporary Internet Files” section.
      Check the box for “Every visit to the page” under the heading of “Check for newer versions of stored pages”.
   B. Choose the “Security” tab.

Click the button in the lower right corner of the Internet Options window labeled “Default Level”.
(If this setting is already in effect, the “Default Level” button will be disabled.)

2. Disable any “Pop-up Blocker” software you may have installed on your computer. This should be controlled by an icon in the “Task Bar” at the bottom of your screen, either by double-clicking or right-clicking on the icon to access the “properties” of the Pop-Up Blocker software.

Notification procedures:

Parties wishing to participate in the electronic filing process must contact the Commission’s Executive Director in writing, on company letterhead and provide the following information: contact name and e-mail address of the person responsible for electronic filings; tariffed name of the company as filed with the Commission, mailing address, phone and fax numbers.

Upon receipt of your letter, the designated contact person will receive via e-mail, an account/user name and password, to be used for purposes of submitting electronic case filings. Please note that for security purposes, the account name assigned for electronic case filings will not be the same account name which may have been issued for other electronic filing processes, such as filing of annual report information or tariffs.

In the event that a password becomes corrupted, lost or otherwise compromised, the method of re-assignment of passwords will be as follows: The party will notify the PSC Docket Control Branch via telephone at (502) 564-3940 or e-mail at pscfilings@ky.gov. The PSC Docket Control Branch will cause a new password to be generated, then notify the party via e-mail, at the e-mail address on record. As a security measure, passwords will not be transmitted by telephone.

Filing account names are intended to be permanently assigned. However, filers should notify the Commission by letter to the Executive Director, before initiating electronic filings for each new case. Upon receipt of notice of intent to file, an Order will be issued, referencing a case number and cause to have the case established and designated for electronic filing. This initial notice of intent to file and subsequent order will also serve as a documented agreement by both parties as to acceptance of electronically filed documents in that particular case.

Individuals wishing to submit public comments regarding any open case do not need to establish electronic filing accounts. Public comments should be submitted via the “Public Electronic Filing” menu selection, from the web portal, and further described in the section titled “Submitting Public Comments”. Please note that this system is for submitting case-related comments only. Persons

wishing to make comments or inquiries regarding utility service or billing issues, should visit the Commission web page and go to the link titled "Consumer Information".

We hope that you will choose to participate in this new case filing system and welcome any feedback that you may wish to provide. For questions or comments regarding use of this system, please contact the Docket Control Branch at (502) 564-3940 (e-mail: pscfilings@ky.gov).

Document format:

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.

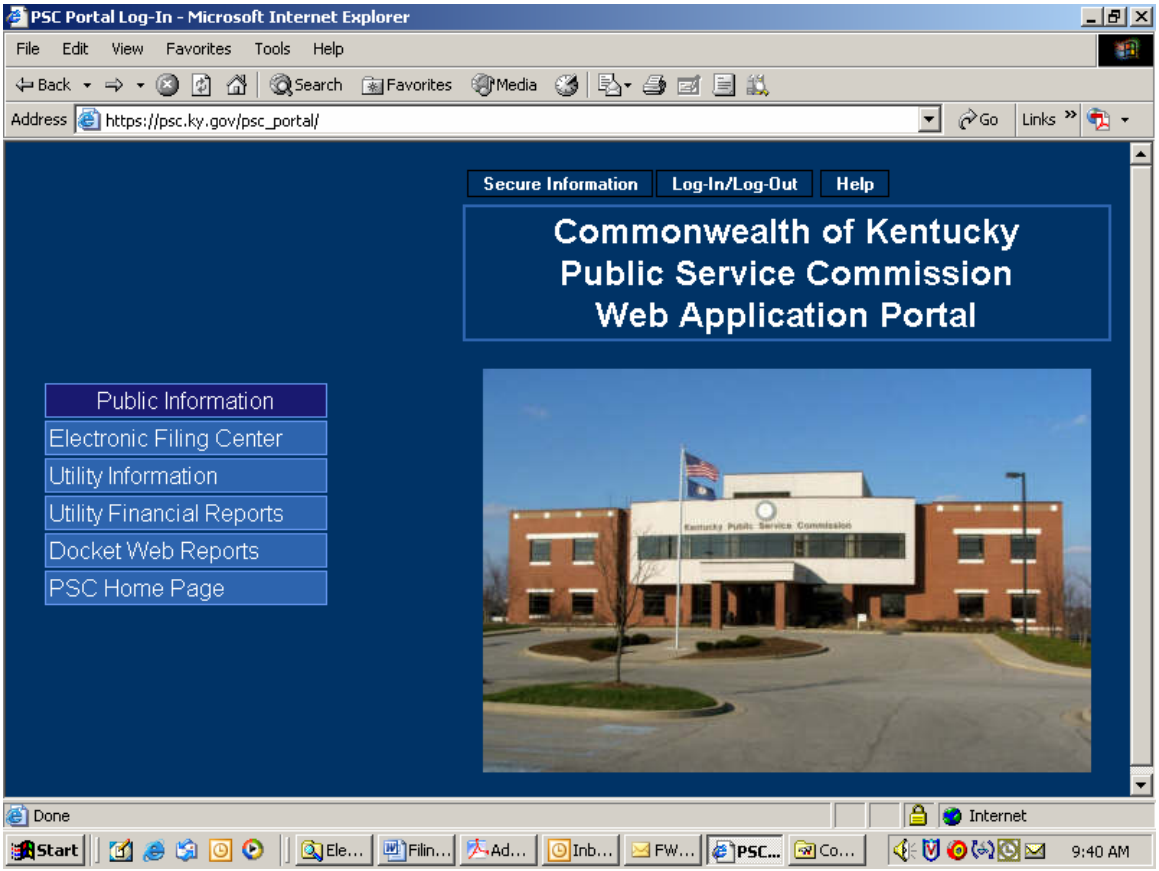
When possible, filers should make every reasonable effort to limit the size of individual documents, within a filing, to a maximum size of approximately 5 megabytes. This suggested size limitation is made in order to accommodate downloading by persons having dial-up Internet connections, as one objective of electronic filing is to make information readily available to the general public, through our web site. Also, larger file sizes may require the filer’s computer to be configured with additional memory. 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.

Enforced limitations on electronic document filings are as follows:

1. Maximum number of documents per filing = 20
2. Maximum individual document size = 5 megabytes
   Individual documents exceeding 5 megabytes should be broken into smaller units and named accordingly (Part 1, Part 2, etc.)
3. Maximum <u>total</u> document size per filing = 100 megabytes

Filing procedures.

Parties will connect to the PSC Electronic Filing Center through the Commission's home page at http://psc.ky.gov/ . Go to the "Electronic Case Documents" link, then follow the link labeled "Electronically Filed Cases", which will connect the user to the PSC Web Portal as in the example below.



Parties of record should note the following points (not applicable for individuals submitting public comments):

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 reference to 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.

Please note that it is no longer necessary to prepare an "Index.pdf" document, as was required in the previous e-filing system. Also, it is no longer required that filers notify the Commission via e-mail that a filing had been uploaded, as

notification is now an automated process. However, you may notify us, if you wish, by e-mail at the following address: pscfilings@mail.state.ky.us.

As in the past, filers should notify all other parties of record, via their designated e-mail addresses, of the fact that an electronic filing has been submitted to the Commission. More detailed instructions for submitting electronic case filings are contained in the section below titled "Submitting Electronic Case File Documents".

Members of the public, who are not parties of record, but wish to submit public comments regarding an open case, should choose the "Public Electronic Filing" menu selection as shown in the screen example above. Submission of public comments does not require an account ID and password. More detailed instructions for submitting public comments are contained in the section below, titled "Submitting Public Comments".

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 **must not contain spaces or any special characters**, 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_jhd_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.)

Please note: It is no longer required 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.
APXa - Testimony Appendix A, Excel Spreadsheet.

KAW_RT_cdb_042500.pdf – Rebuttal testimony of Coleman D. Bush.

KAW_RM_AGKY_042600.pdf – Ky. American response to AG motion.

LGE_CMAP_ElectTrans_041402.pdf – “Classified” map of electric transmission. (See section titled “Filing Classified Documents” for a detailed discussion of filing documents which could have an impact on infrastructure or national security.)

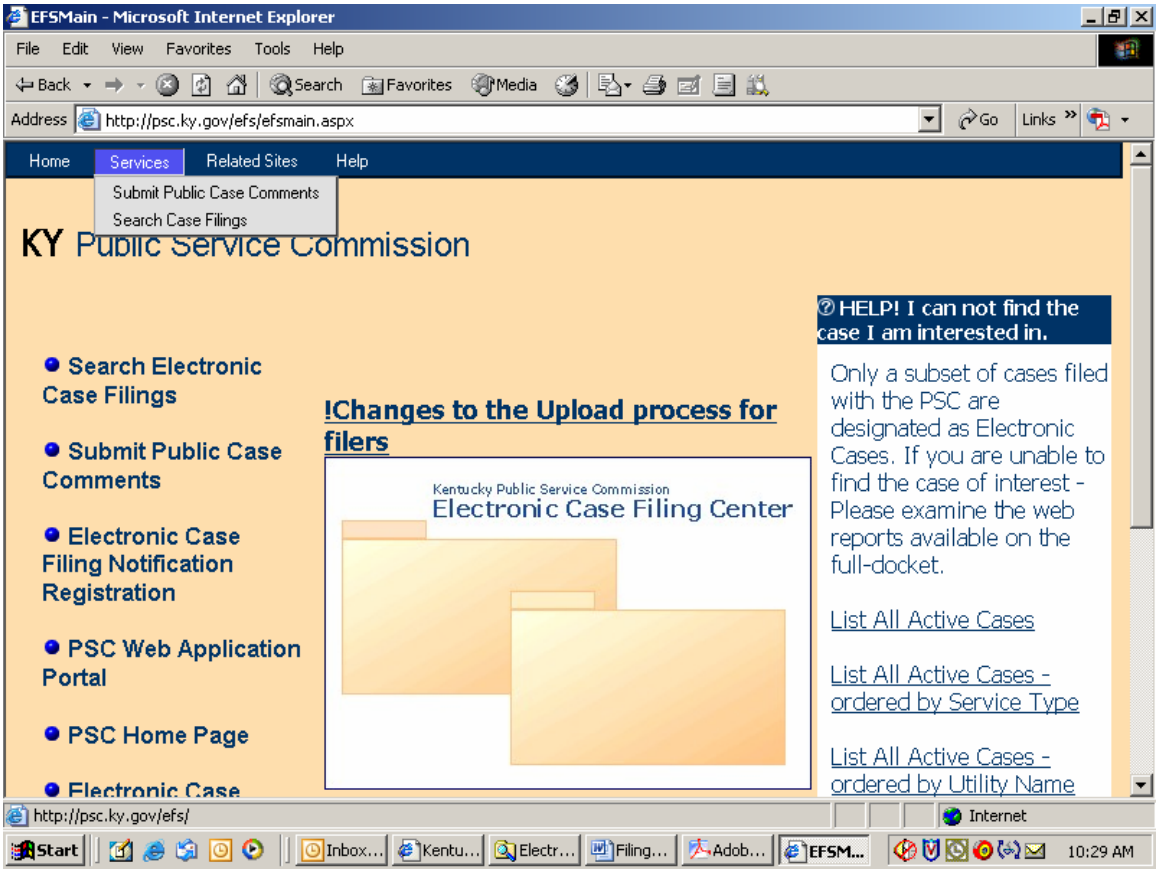
Connecting to the PSC Electronic Filing System:

Filers may connect to the PSC electronic filing application through the Commission's Web address at: http://psc.ky.gov/ by selecting the link titled "Electronic Case Documents". Next, select the link titled "Electronically Filed Cases" which connects you to a web page containing links to this instruction document, shortcuts to search the electronic case file or submit public case-related comments, and lastly a selection to "Submit Electronic Filings. The "Submit Electronic Filings" link will connect you to the PSC Web Application Portal as seen below:

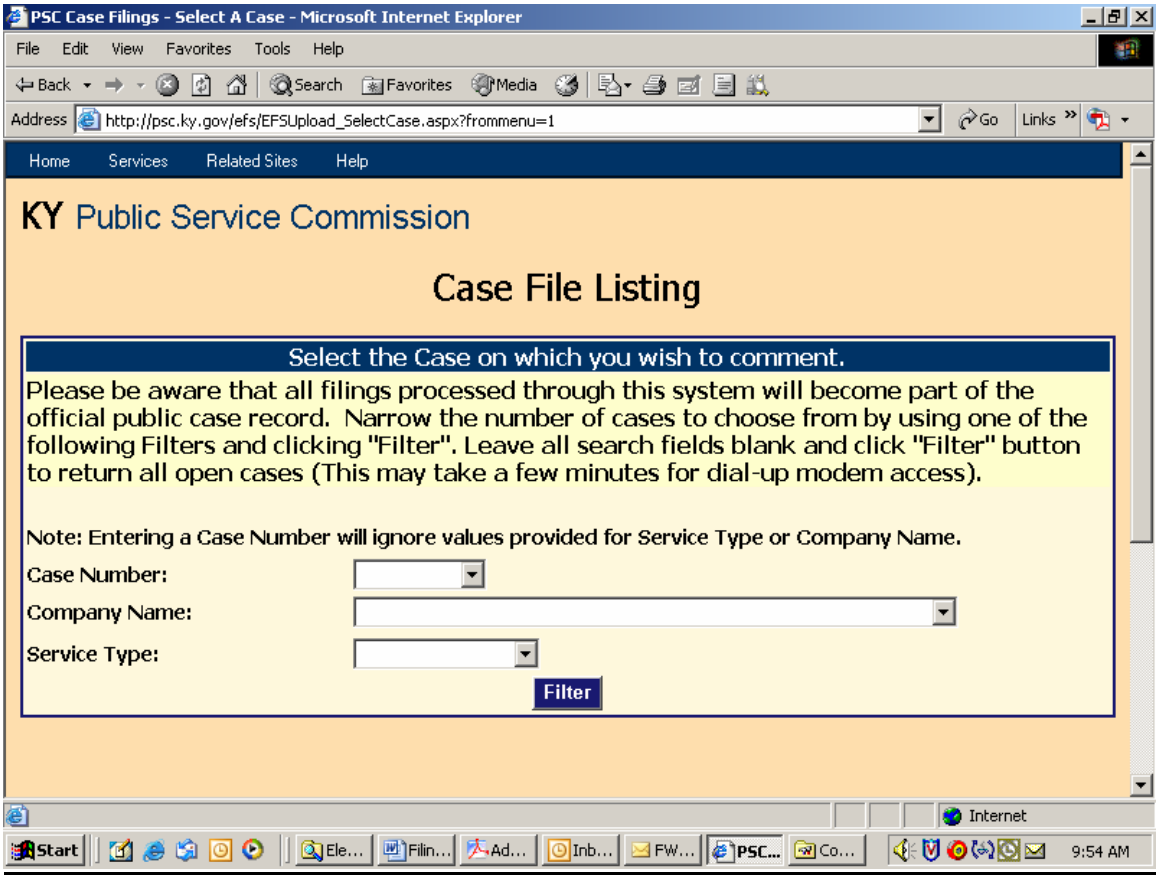
The PSC Web Application Portal will be the primary point of access for most Commission information, which is acquired by automated systems. This document will only focus on submitting electronic case filings, however you will see from the "Public Information" links above, that additional Utility and Docket-related information may be accessed from this source.

Submitting Public Comments:

Citizens wishing to submit **public comments** regarding an open case may do so by choosing the menu selection titled “Electronic Filing Center / Electronic Case Filing” from the Portal screen on the previous page, which connects the user to the following page:



From this screen the user may select the menu option titled “Submit Public Case Comments”, which yields the following “Case Selection” screen. See next example:

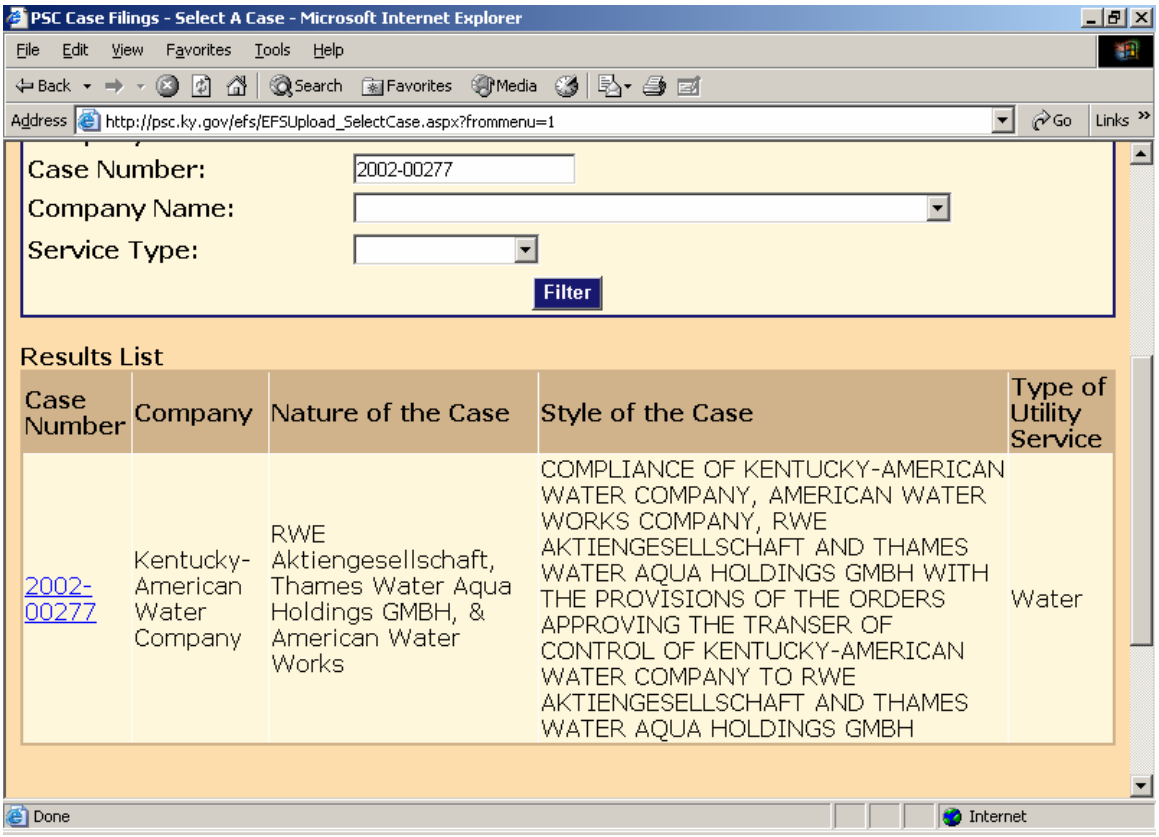


This screen is used to select the case for which you wish to submit a public comment. You may select an individual case by entering the “Docket Case Number” in the box provided; or search for cases by using one, or both, of the “Company Name” or “Service Type” boxes. You may also obtain a listing of all open cases by leaving the search fields blank. Please note that the list of open cases only includes those cases which have been designated for electronic filing. Persons wishing to submit comments on non-electronically filed cases should do so by letter to the Executive Director of the Public Service Commission.

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 below the “Filter” button. When the list of all open electronic 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. See next example:

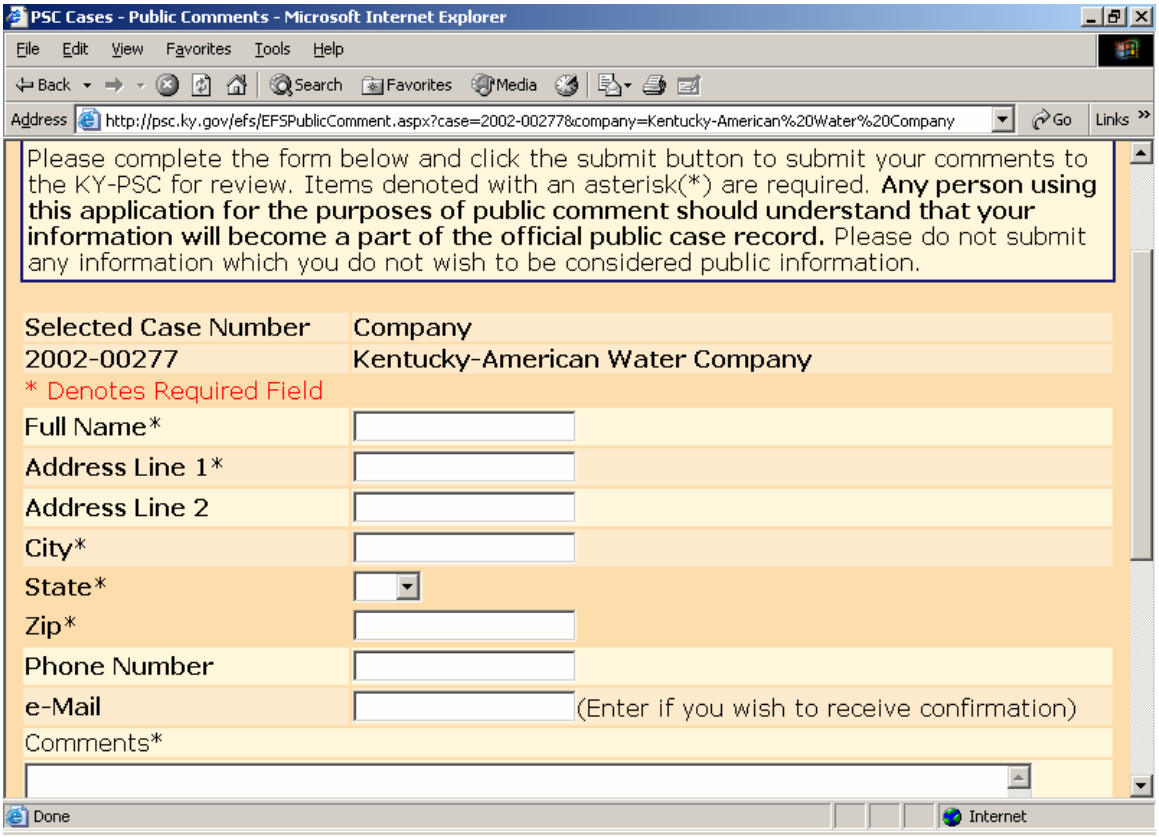
Note: Case number and other Docket information may be obtained from the PSC Home Page at the link titled “Docket Information”, or from the “Related Sites” menu at the top of any Electronic Filing Center screen. Also, you may access case documents for non-electronically filed cases by following the link labeled “Case Documents” from our home page at http://psc.ky.gov.

Search results screen:



Click the desired “Case Number” link to proceed to the “Public Comment” entry screen. See next example:

Enter your personal contact information and case-related comments in the spaces provided and click the “Submit” button at the bottom of the web page. (Items denoted with an asterisk are required information.)



You will receive a confirmation screen informing you that your comments have been submitted to the PSC, as in the example below.

You should also receive a confirmation by e-mail if a valid e-mail address was provided with your personal information.

After review of your comments by our filing clerk, your comments will be “posted” to our “Electronic Case File”, from which all comments and filings will become available for public access via this Electronic Filing Center system.

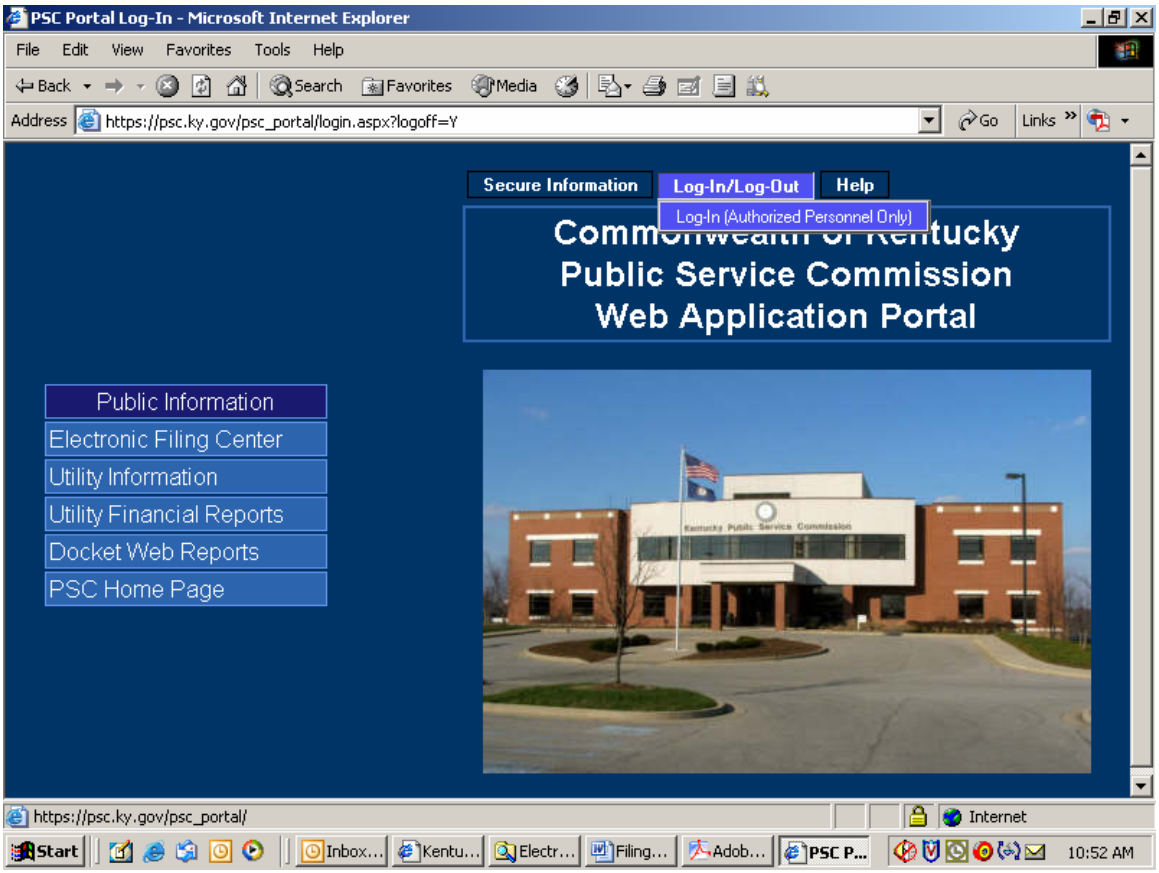
Users may view all “posted” filings by following the instructions in the “Search Case Filings” section, within this document.

Submitting Electronic Case File Documents (Parties of record only):

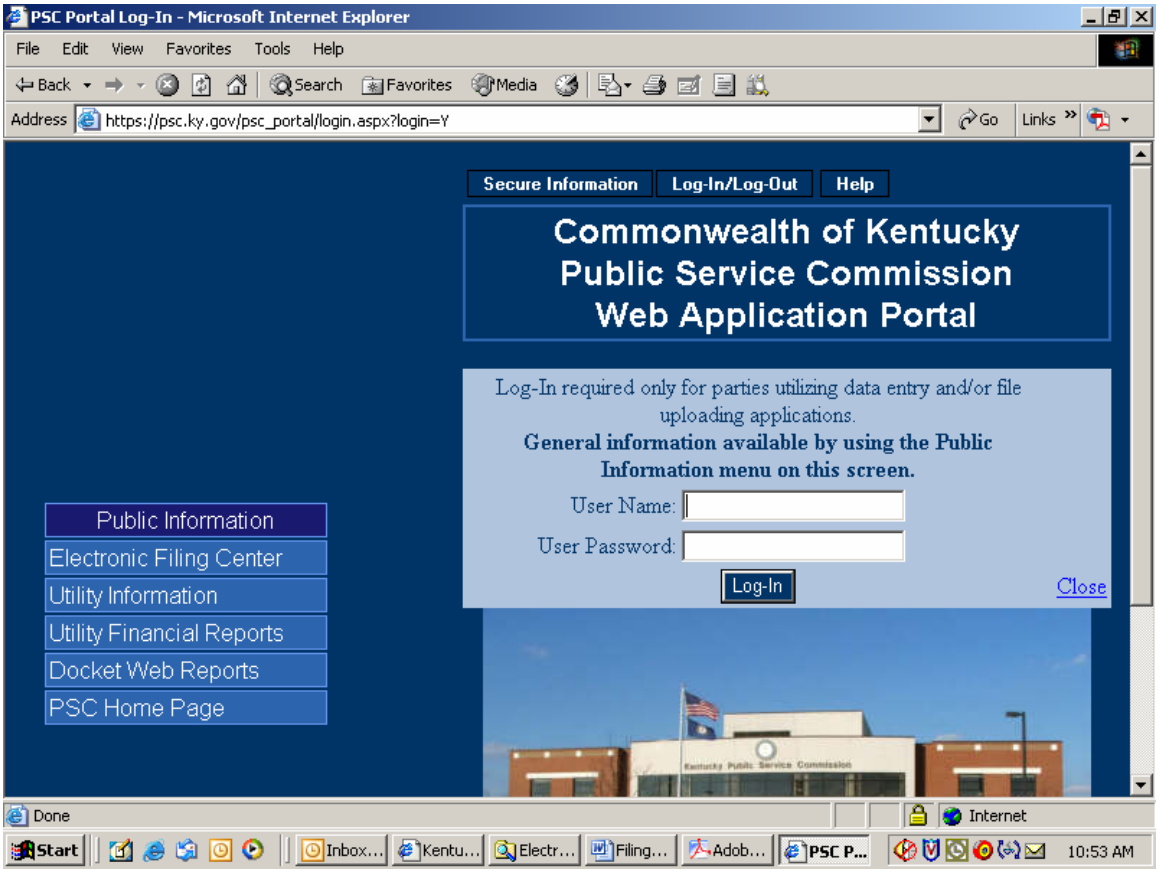
In order for a party of record to submit electronic case filings (other than public comments), the filer must have obtained an account ID and password, using the procedures discussed above in the "Notification Procedures" section. After obtaining your electronic case filing account and password, please proceed using the following instructions.

Connect to the PSC Electronic Filing Center through the Commission's Web address at: http://psc.ky.gov. Next, select the link titled "Electronic Case Documents". This link will connect the user to the PSC Web Portal as in the example below:

Click the “Log-in (Authorized Personnel Only)” selection on the Web Portal menu as in the example below:

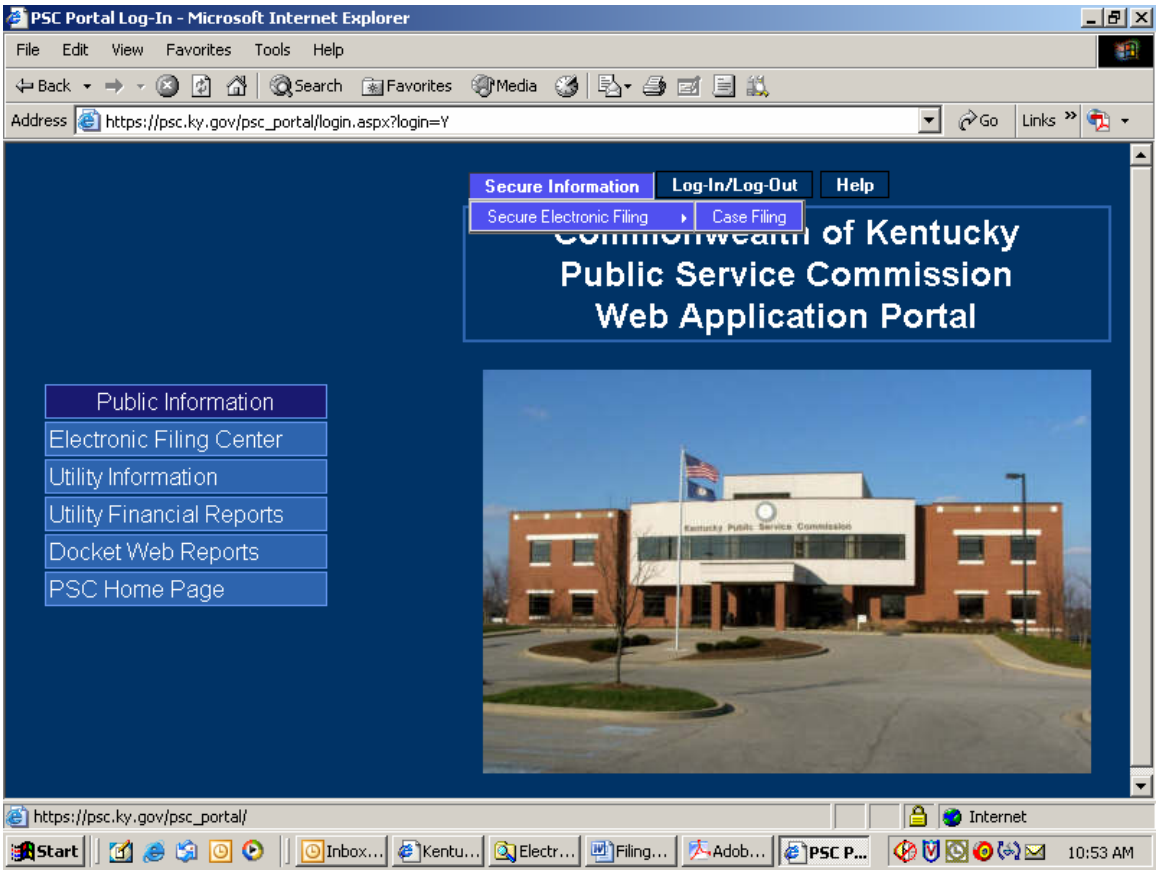


You will receive the following login window:

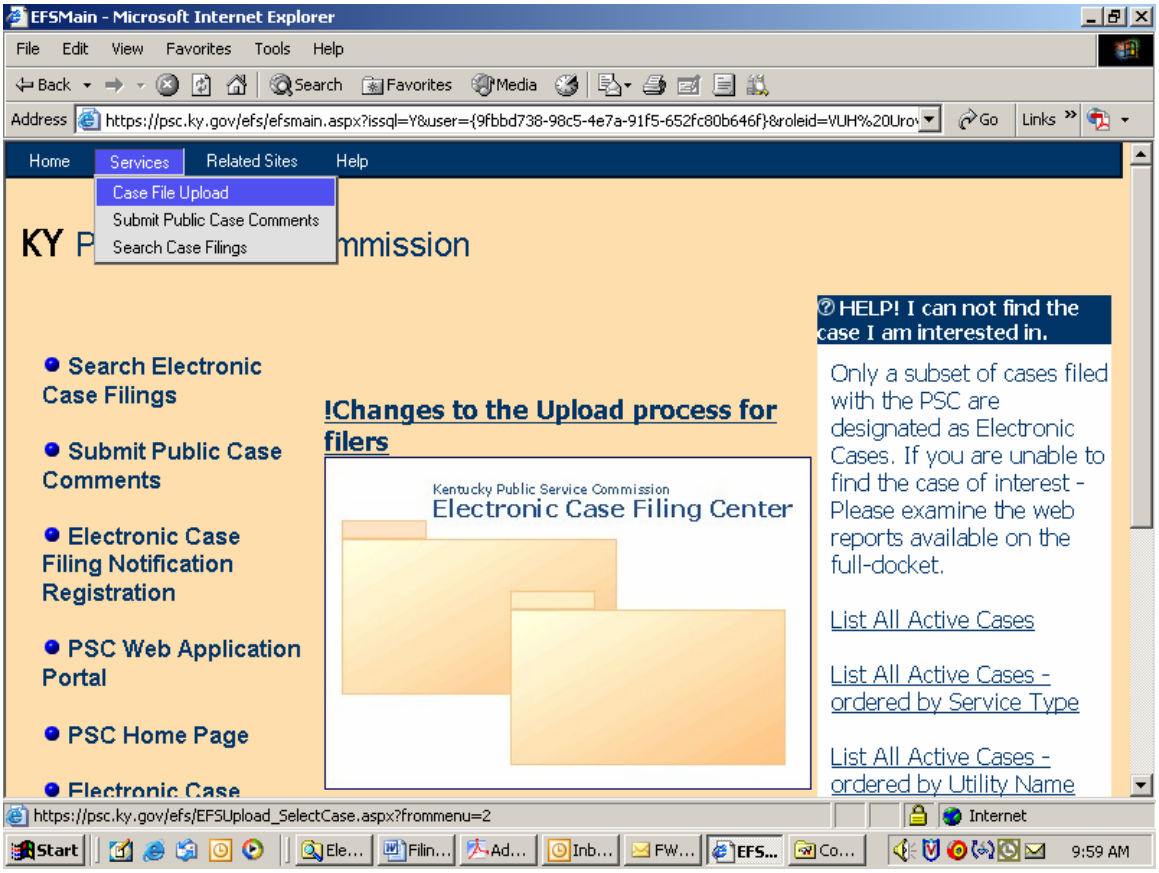


Enter your assigned User Name and Password in the spaces provided. Passwords <u>are case sensitive</u> and must be entered <u>exactly</u> as they appear in your notification e-mail. If you decide not to log in, please click the “Close” link in the lower right corner of the login window.

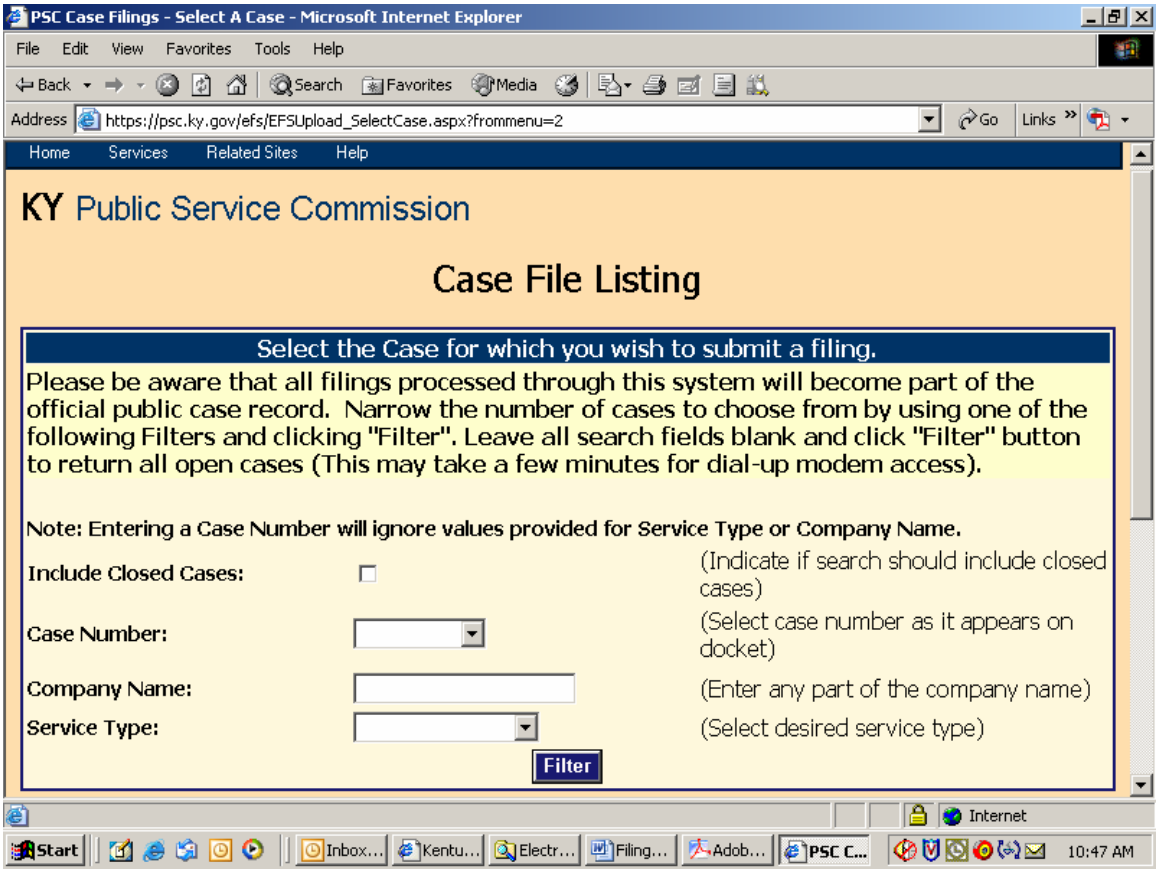
Upon a successful login, choose the “Case Filing” selection from the “Secure Information” menu. See example below:



The “Case Filing” menu selection will place you at the “Electronic Filing Center” web page. Proceed to submit electronic case filings by choosing the “Case File Upload” selection under the “Services” menu. See example below:



The “Case File Upload” selection will open the following screen:

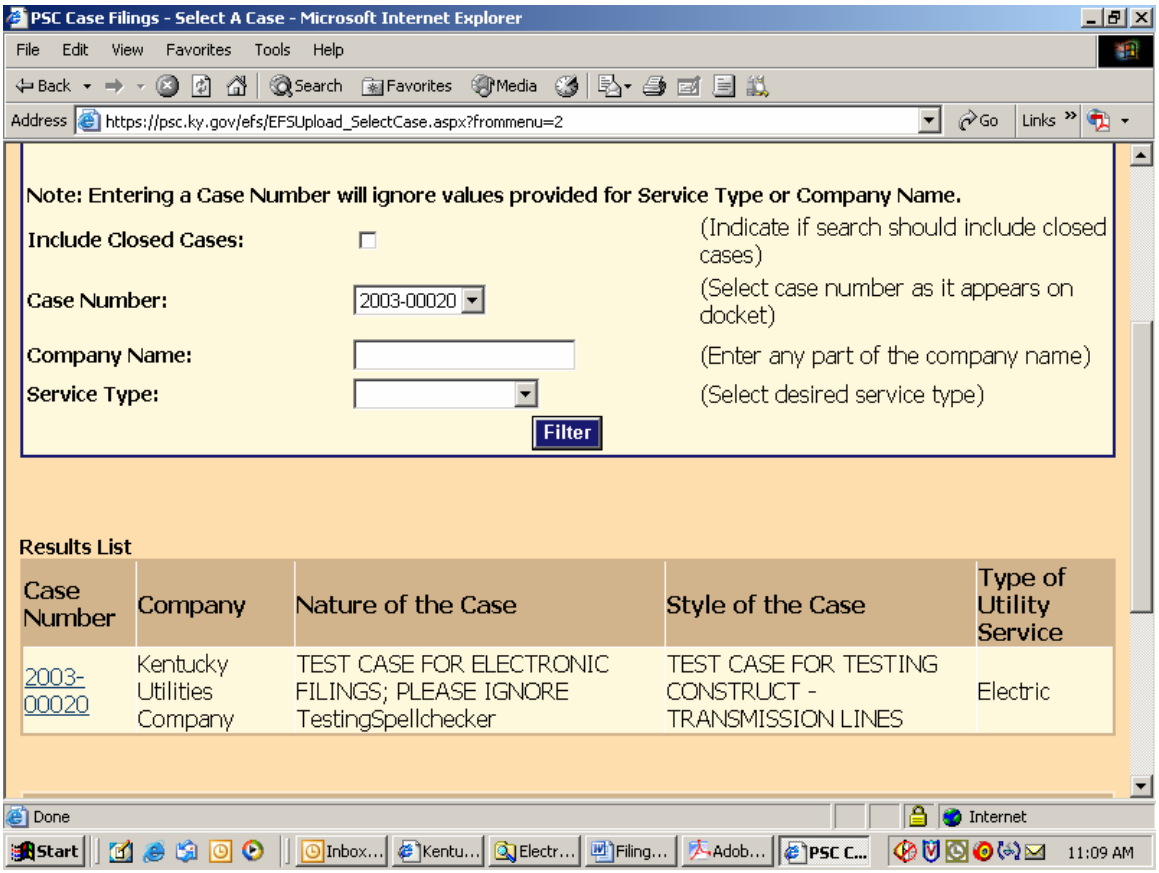


This screen is used to select the case for which you wish to submit electronic filings. You may select an individual case from the drop-down list in the “Case Number” window; or search for cases by using one, or both, of the “Company Name” or “Service Type” boxes. You may also obtain a listing of <u>all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

<u>Note</u>:
If submitting an electronic filing for a case which is currently closed, please select the box titled “Include Closed Cases”, leave the other boxes blank, then click the “Filter” button. Additional case number and other Docket information may be obtained from the PSC Home Page at the link titled “Docket Information”, or from the “Related Sites” menu at the top of any Electronic Filing Center screen.

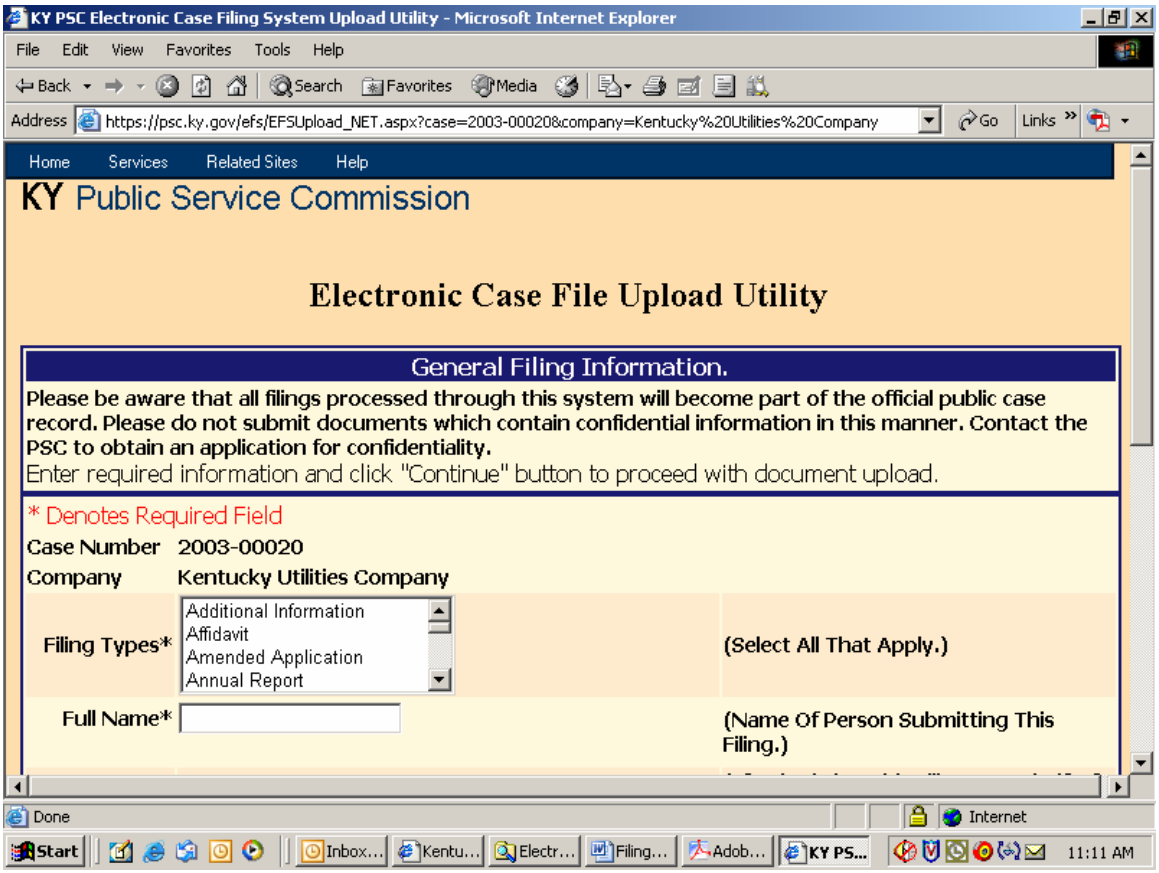
Your “filter” will yield a search results screen as in the example below:



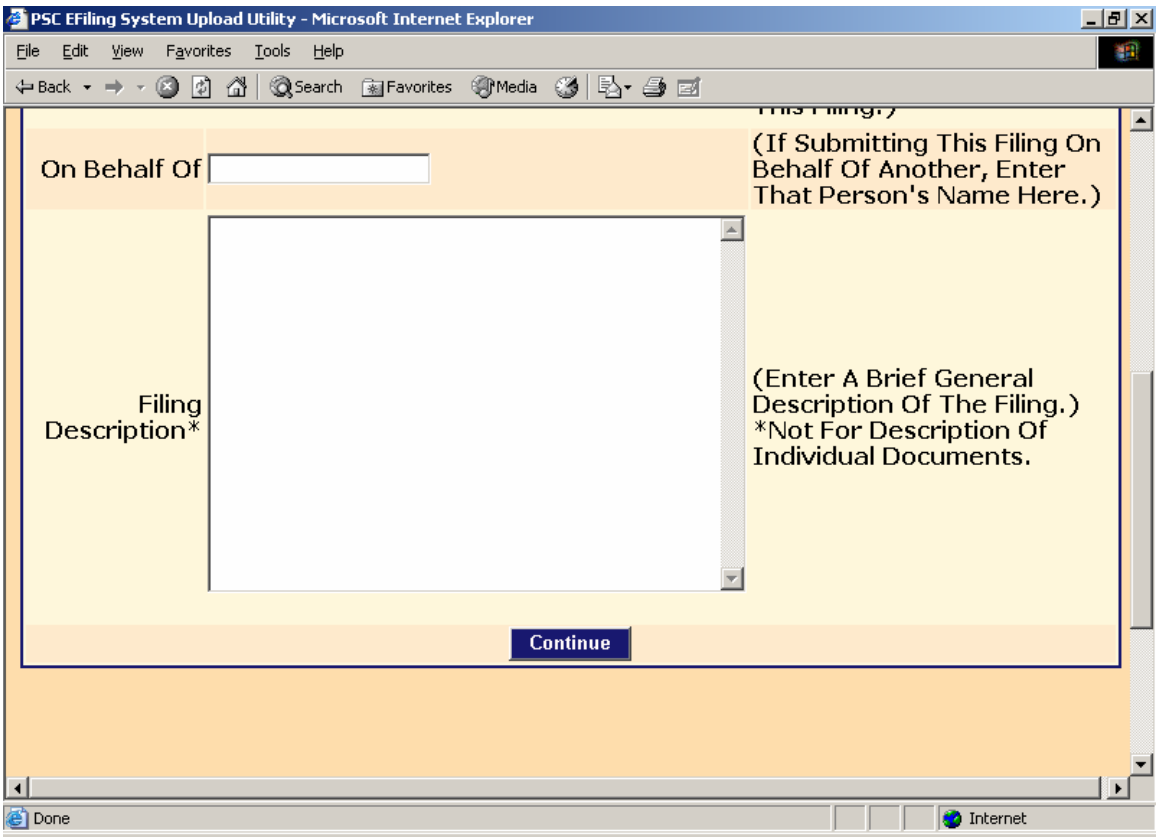
Click on the <u>case number</u> link in the lower left scroll area of your results page to continue the electronic document filing process.

You will next be presented with a “file upload” screen as in the following example. Enter the required preliminary information in the appropriate boxes.

Note: An explanation of required information is provided to the right of each data entry box.

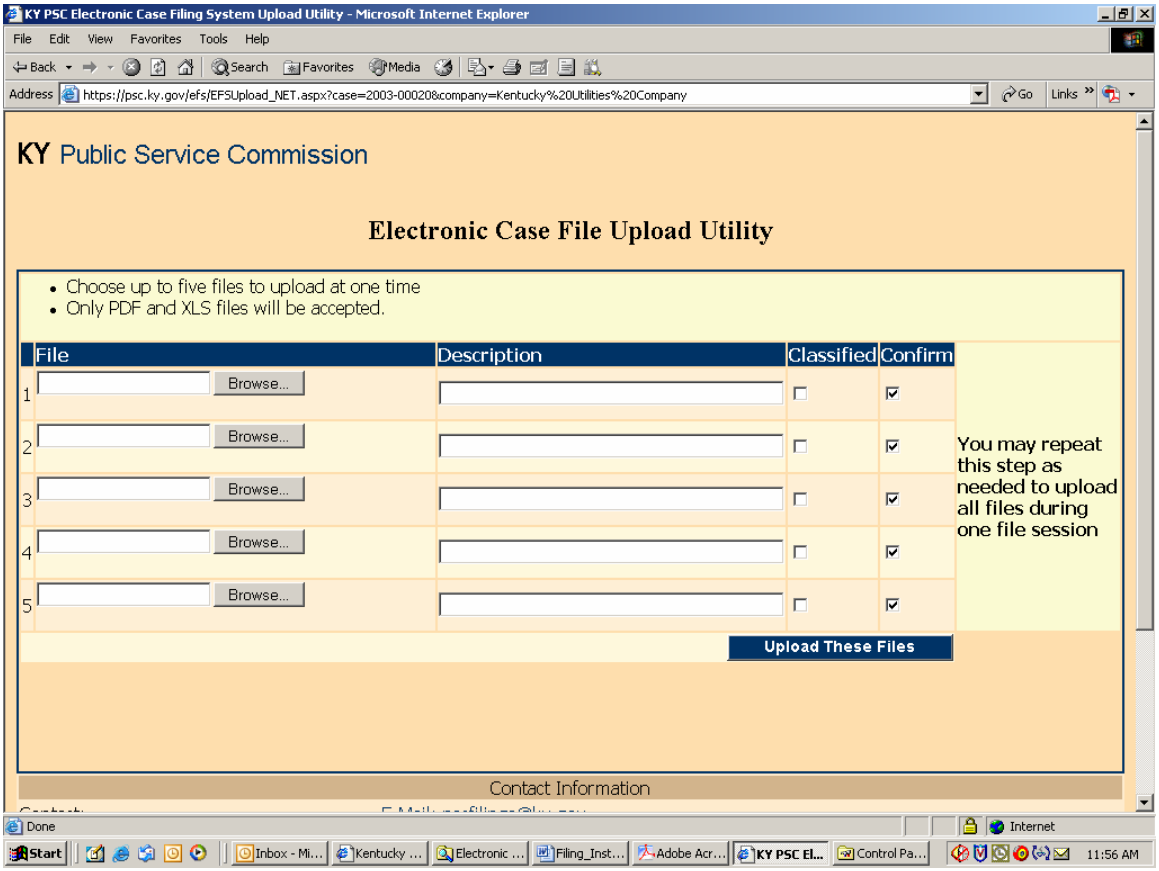


File Upload Screen continued:



Enter the required preliminary information about your particular filing and click the “Continue” button.

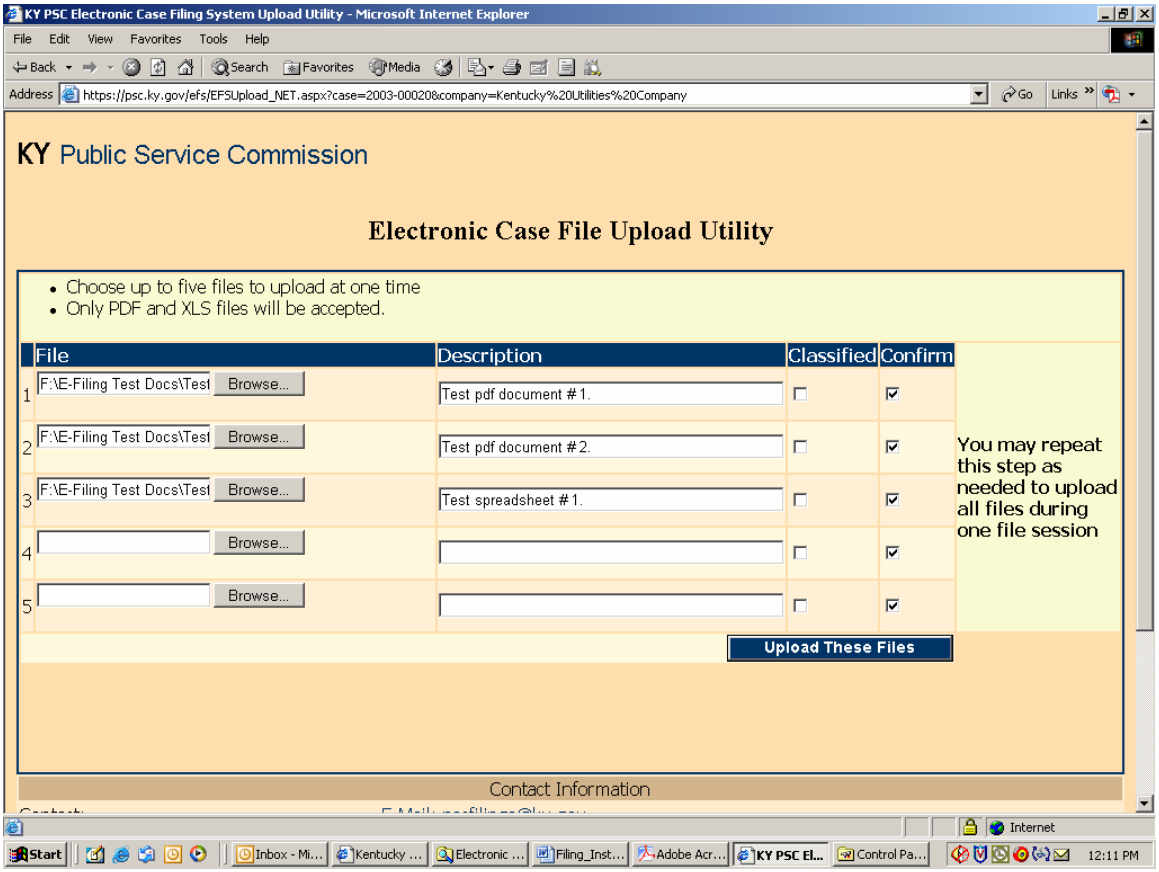
Your screen will be refreshed with the following page for selecting documents to be uploaded.



Use the “Browse” button to locate your documents to be uploaded, along with a required brief description of each document in its corresponding “Description” window. You may upload a maximum of five documents per each page and repeat the process for up to four iterations, for a maximum of twenty documents to be uploaded per session.

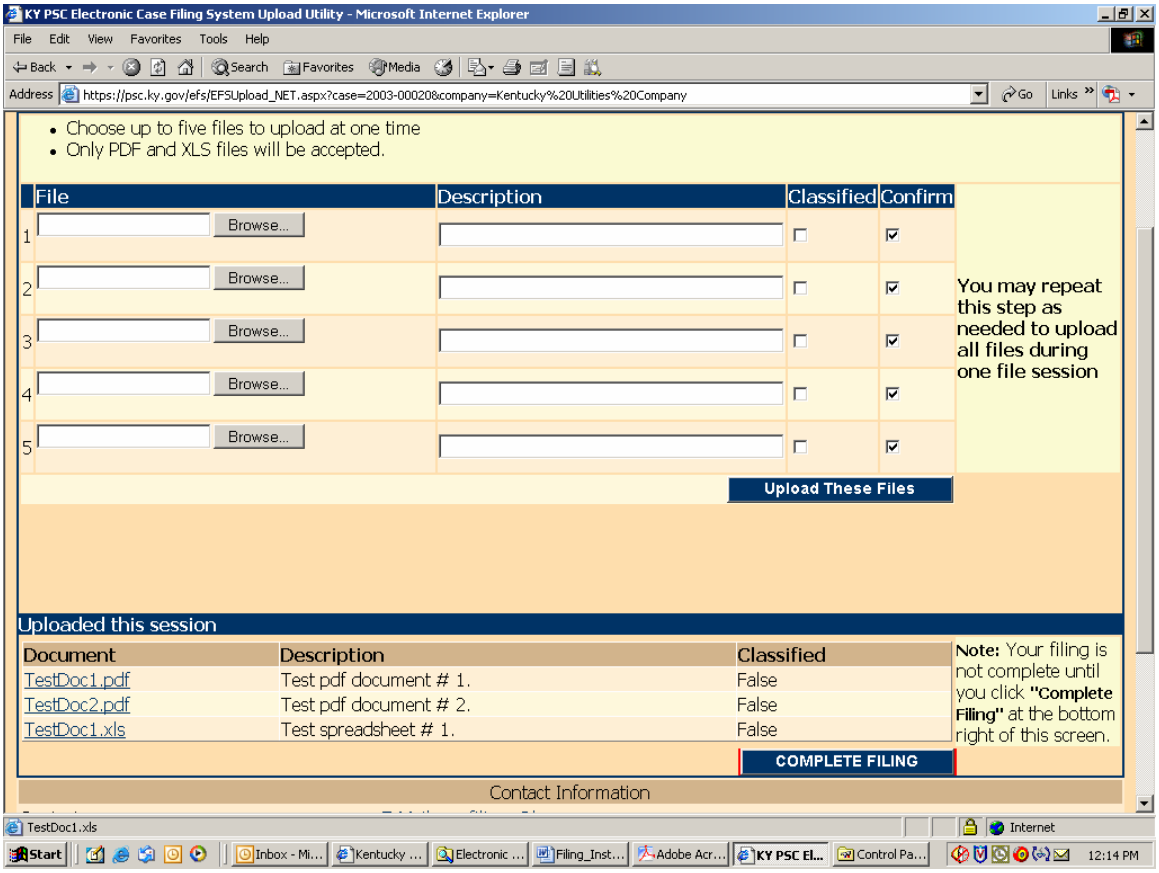
If your filing consists of more than twenty documents, you may initiate a new filing session and indicate that you are making a continuation filing within the initial “Filing Description” window.

When finished selecting your first group of documents to be uploaded, choose the button at lower right labeled “Upload These Files”.



Please note that the upload filter only allows you to select “pdf” (Acrobat) or “xls” (Excel) files as discussed in the “Document Format” section within this document.

After uploading your initial batch of documents, you will receive a refreshed screen, as in the example below, which lists any documents previously uploaded at bottom, along with an area at the top of the page for selecting additional documents to be uploaded.



You must <u>always</u> choose the button labeled “Upload These Files” in order to process any additional documents selected.

If you have included a document which you wish <u>not</u> to be uploaded, simply clear the corresponding “Confirm” check box to the right of the document name before choosing “Upload These Files”. Only documents having a check mark in their corresponding “Confirm” box, will be uploaded.

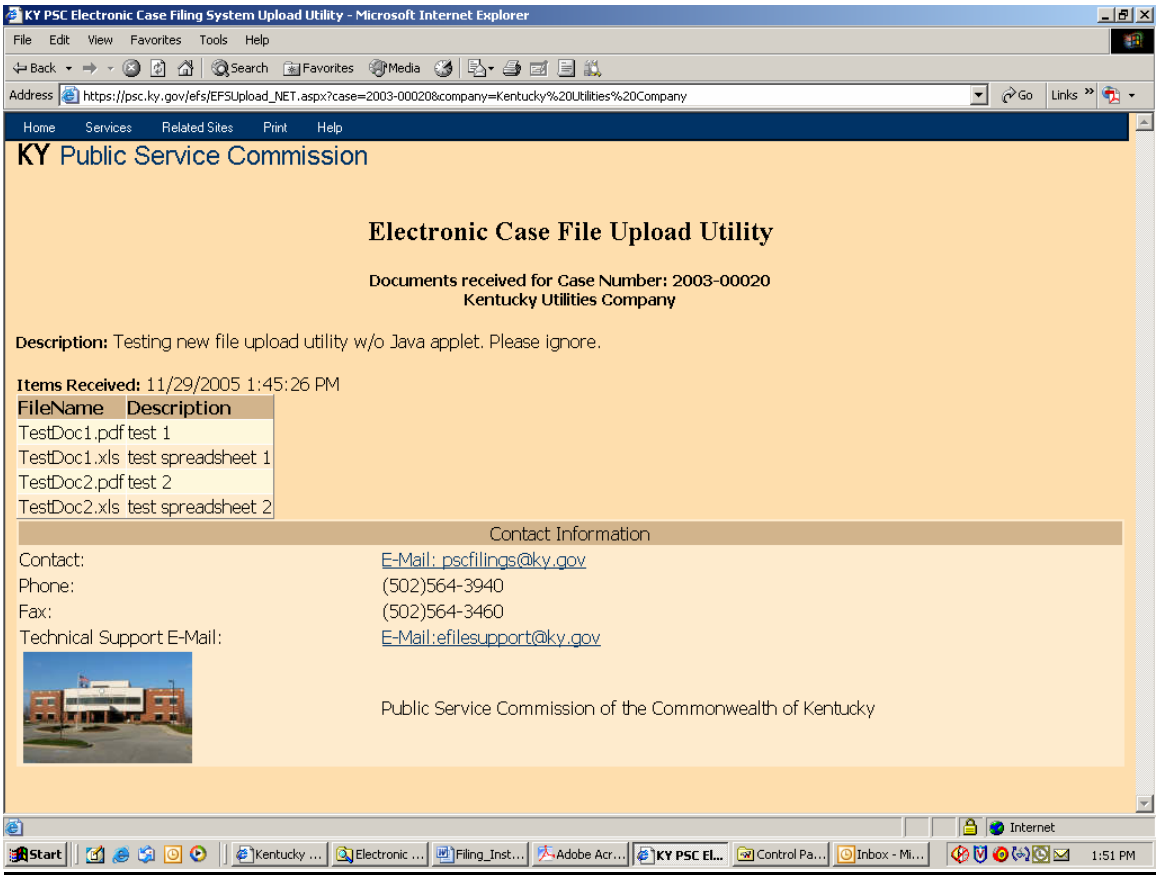
<u>Important:</u> When you have finished uploading all required documents, you <u>must</u> choose the button labeled “<u>Complete Filing</u>” located at the lower right corner of the page. <u>None</u> of your selected documents will be saved on our server until you click the “Complete Filing” button.

Patience is required when using this system via a “dial-up” modem connection or when uploading extremely large documents. Dial-up users should be aware that a typical “56K” modem connection usually yields no more than a 40,000 bits per second (4,000 characters per second) transfer rate. Therefore, uploading documents of one megabyte (1 million characters) in size could take nearly 5 minutes to complete. Also, a poor quality phone line may result in failure to complete the document transfer process.

This electronic filing system works best using a high-speed Internet connection such as DSL, cable modem or T1.

After your files have been transferred, 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 message 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.

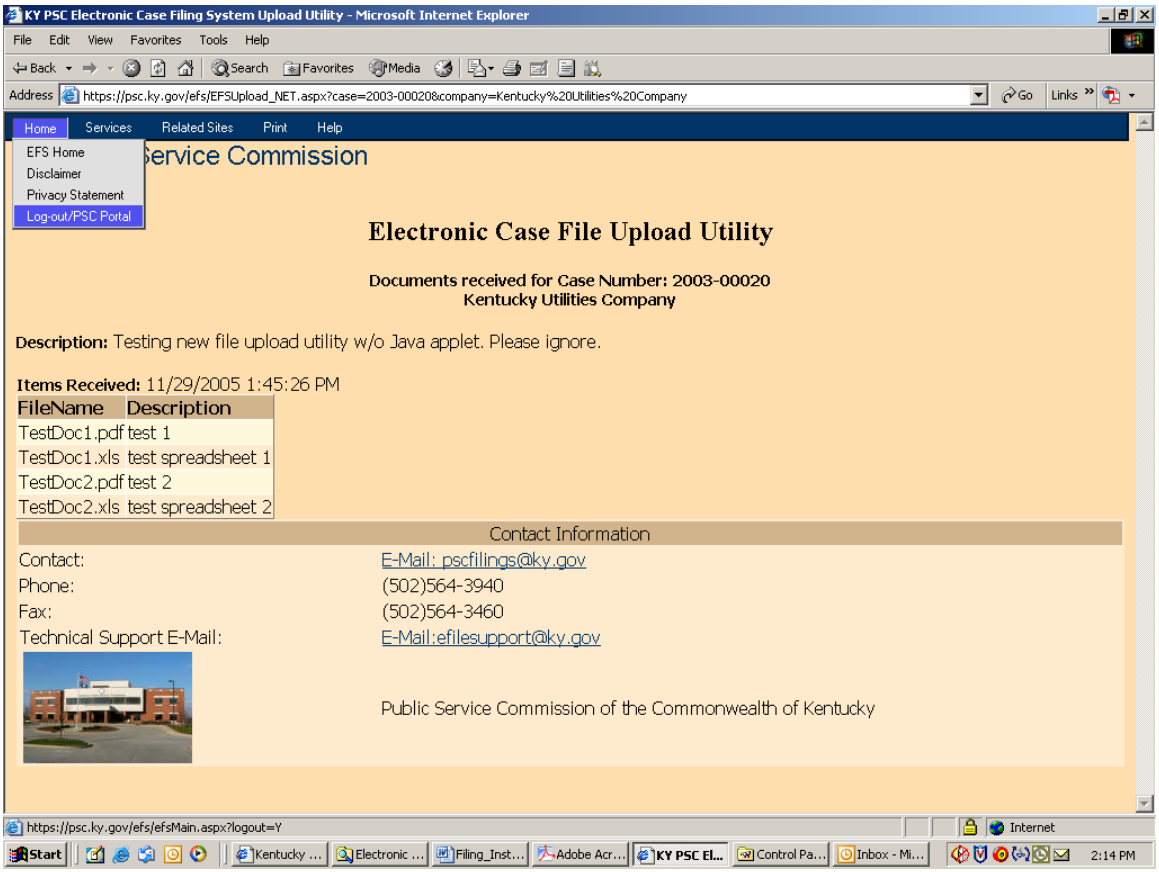


You may print this confirmation screen by using the “File” / “Print” command from the Internet Explorer tool bar or by choosing the “Print” selection at the top of the confirmation screen menu.

After review and approval by our filing clerk, your filing will be “posted” to our “Electronic Case File”, through which all comments and filings will become available for public access via this Electronic Filing Center web system. Upon posting to our web site, you should also receive a follow-up e-mail indicating the status of each document included in the filing. If document(s) were rejected for any reason, it will be so indicated at the bottom the e-mail message. You should retain all confirmation messages, as part of your filing documentation.

After “posting” by our clerk, all electronically filed documents are publicly accessible by following the instructions in the “Search Case Filings” section, within this document.

Exit your electronic filing session by closing your web browser or choosing the “Log Out” menu selection as in the example below.



Filing Classified Documents:

Since the terrorist events of September 11, 2001, there has been an increased awareness of making sensitive information freely available on the Internet. In terms of our electronic filing system, this concern applies primarily to documents containing detailed or oversize maps. In order to address security concerns, filers are asked to identify any "map" documents containing information of significant detail, which could be used in aiding a terrorist attack on public facilities or utility infrastructure. Detailed information on electric or gas transmission lines, or generating facilities, are among the types of documents, which may be of particular concern.

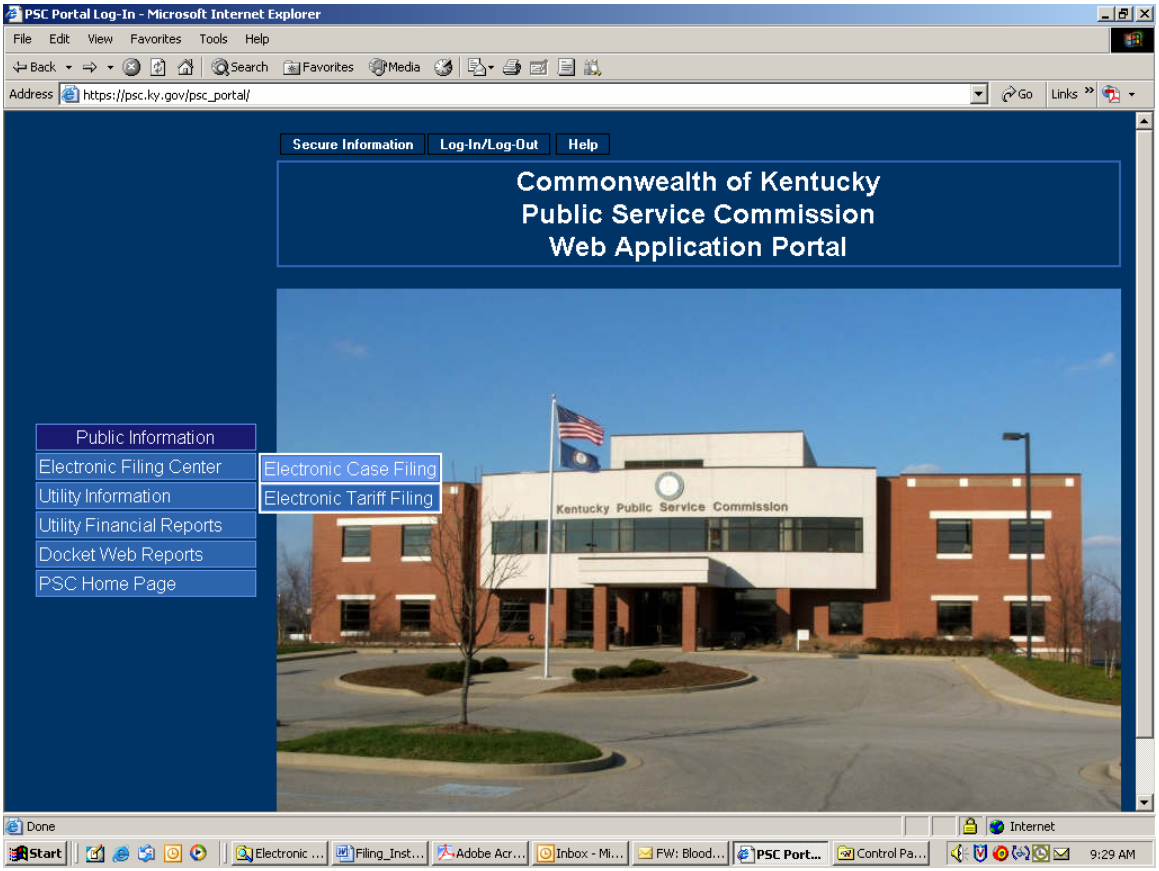
Therefore, for purposes of electronic filings, these documents will be considered "classified" and should be indicated as such by checking the appropriate box, under the "Classified" column, on the file upload window. When indicated as such, the system will place the documents marked "classified" in a secure area and will not make them available for unrestricted public access.

A document will be automatically inserted into the filing, with instructions on how to gain access to the "classified" information. The "Read1st.pdf" document accompanying the filing should also reference the fact that a "classified" map is included in the filing.

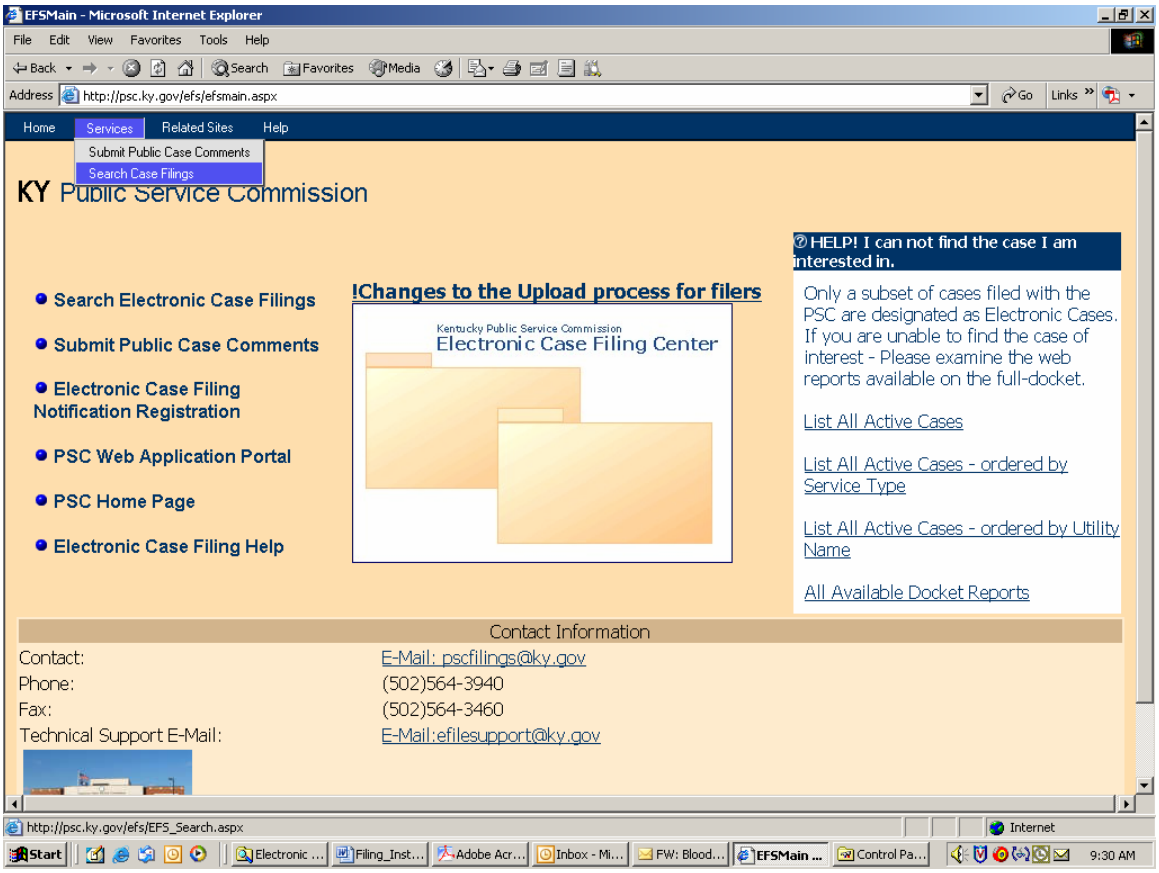
Please note: The term "classified" as used in this document does not apply to documents granted "confidentiality" by letter of the Commission. At present, documents granted confidentiality are not accepted via electronic filing, however the filer may submit them on a CD, if agreed by the Commission. Documents granted "confidentiality" are kept in a secure location and not made available to the public or other parties to the case.

Search Case Filings:

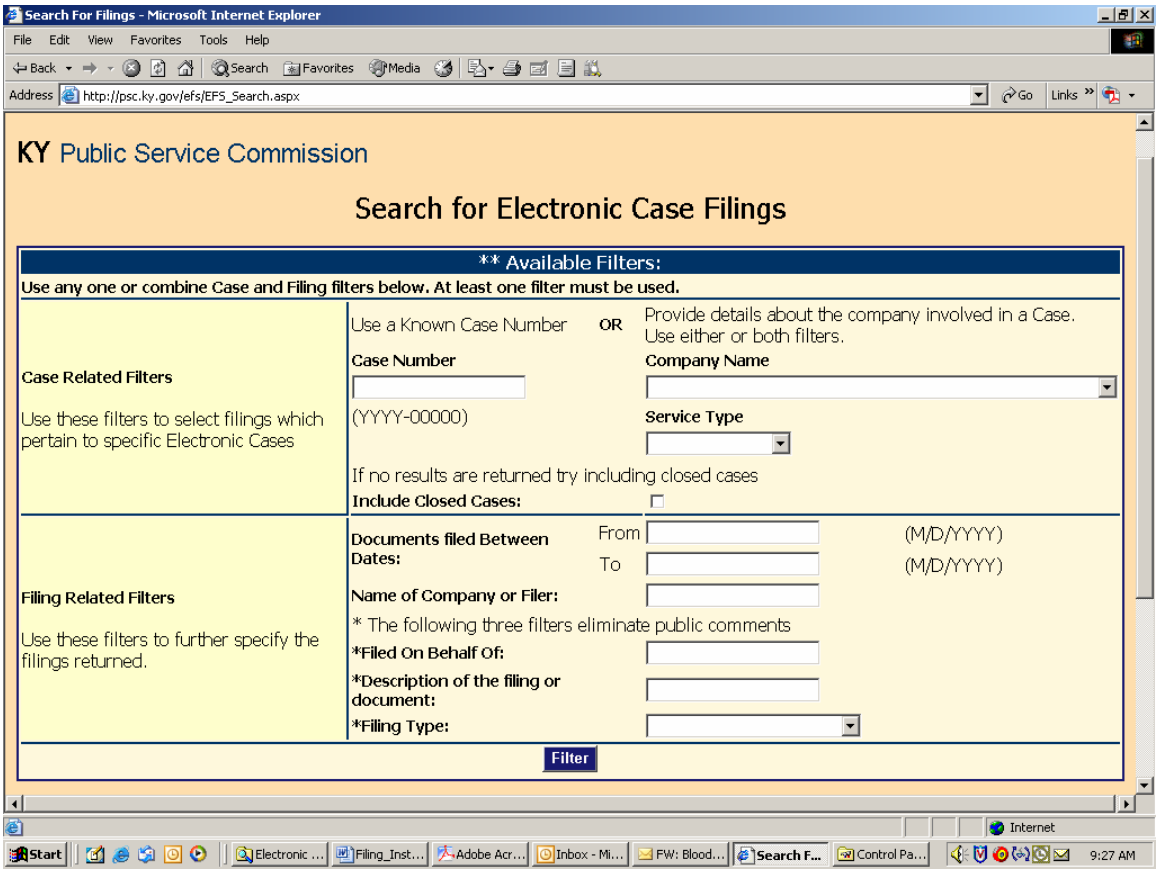
An additional feature of this new system allows users to search and view electronically filed documents for any case. Connect to the Electronic Filing Center web page by choosing the “Electronic Case Filing” menu option from the PSC Web Portal.



From the Electronic Filing Center page, choose the menu option titled “Search Case Filings” under the “Services” menu.



The sample page below is used to search for all electronically filed documents.

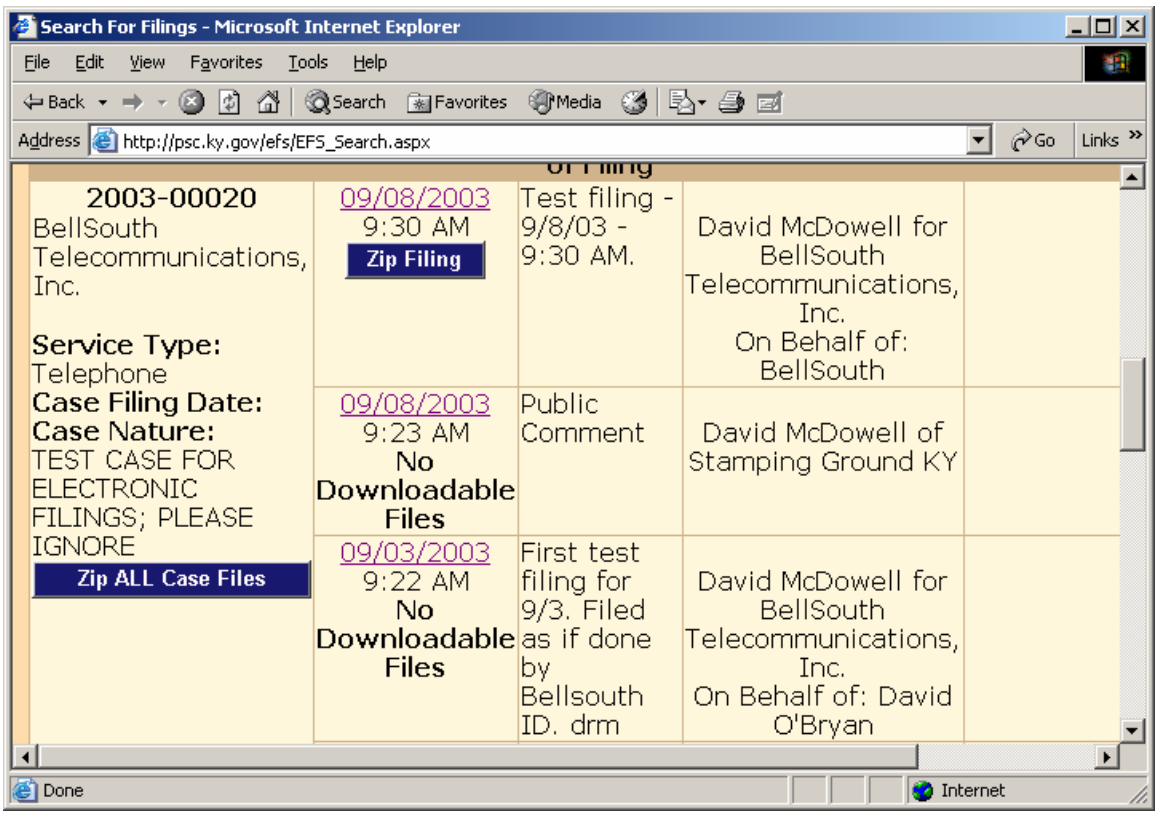


You may search for filings by a specific case number; filings by a particular company; filings for a particular type of utility service; filings posted within a range of dates; name of company or person submitting the filing; name of the person on who's behalf the filing was made; or by any part of the general filing description, as entered by the filer.

If multiple search criteria are entered, the system will perform the search using the "and" operator. For example, if the user searches for filings by BellSouth Telecommunications and specifies a date range, the result list will include only those filings posted for BellSouth, within the specified data range. You may also obtain a listing of <u>all open case filings</u> by leaving all 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 "Results List", displayed below the "Filter" button.

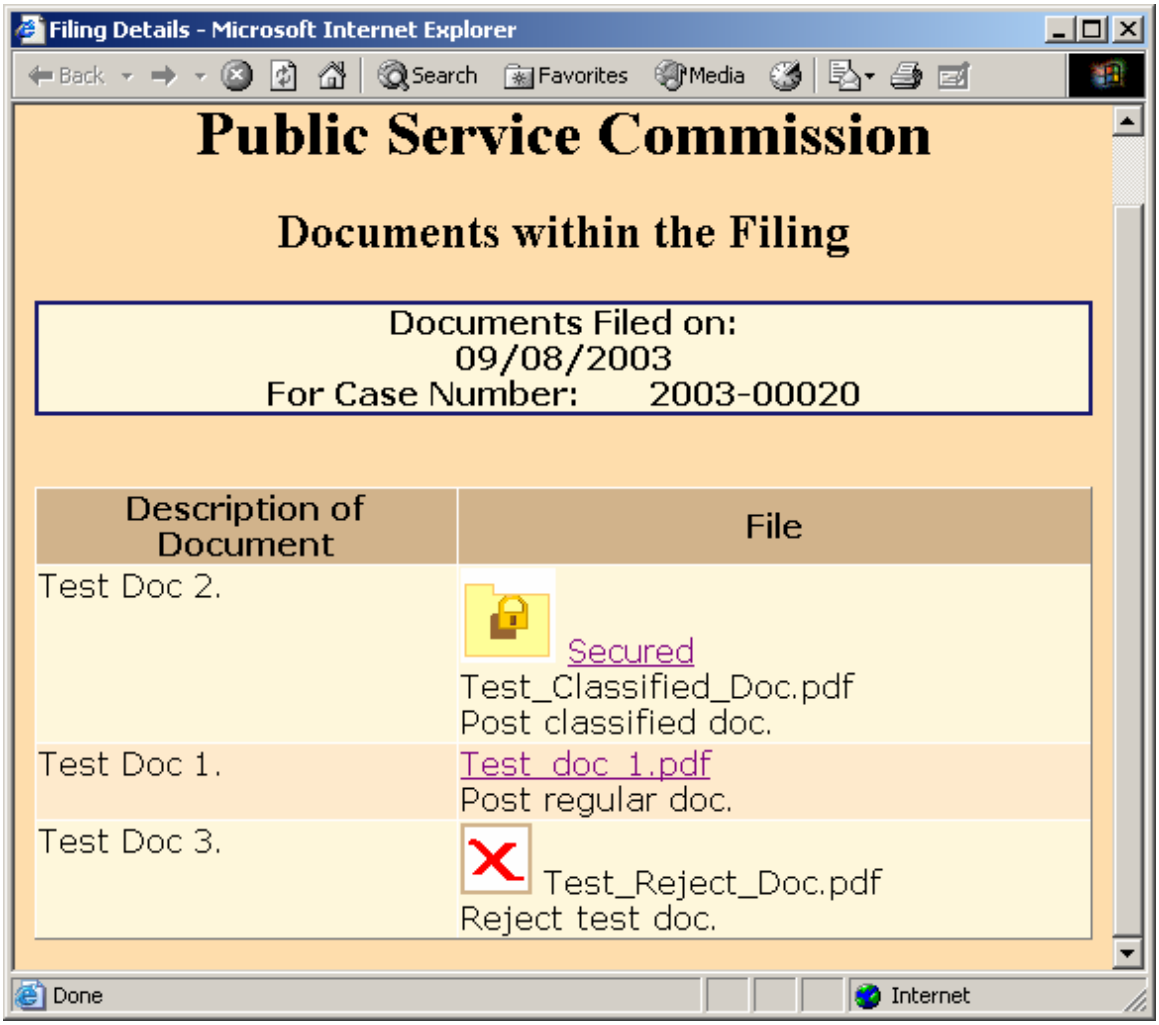
Sample “search results” page:



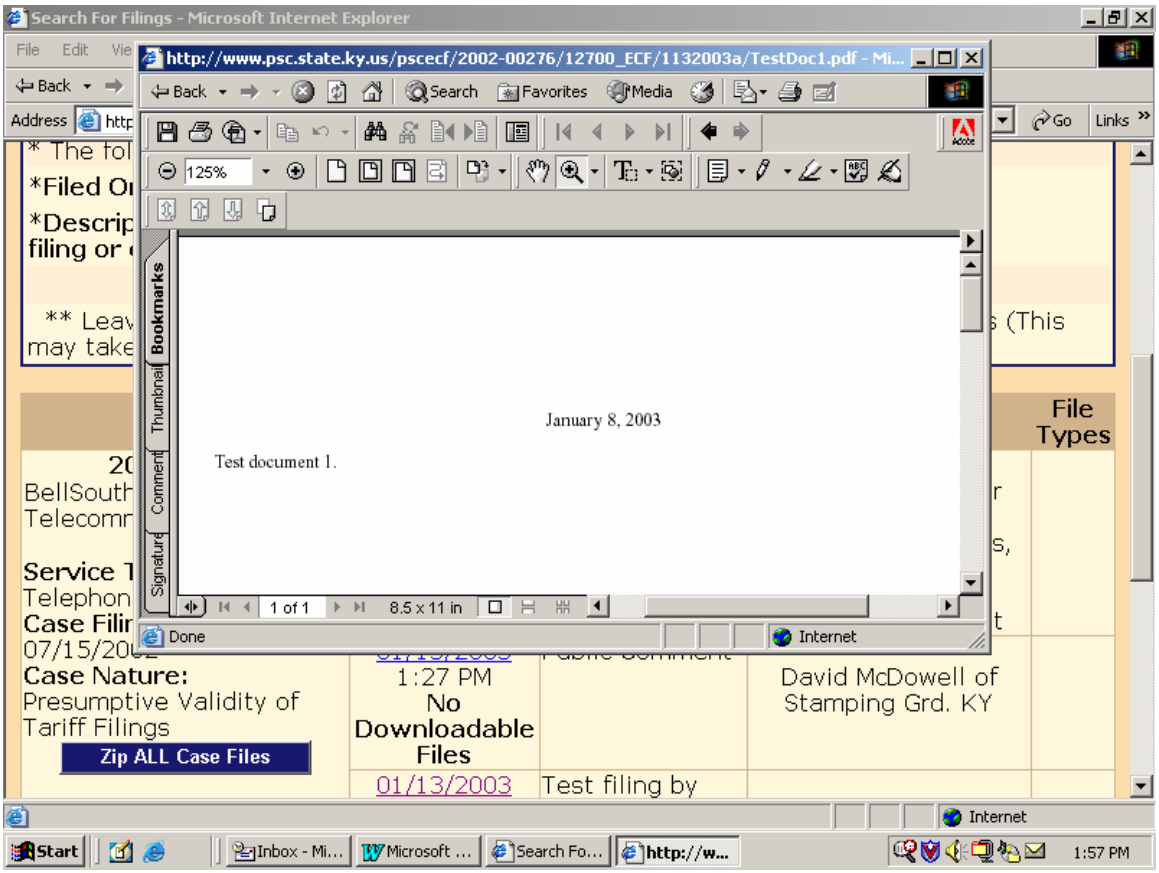
The search results screen provides basic case information, along with an entry for each filing. To view documents included with a particular filing, click on the “Date” link in the “Filed Date” column.

Clicking on the date link from the previous example yields the following detail page.

In the event which a document is rejected by our clerk, the “document name” link will be replaced by the “X”, as in the sample screen below. Also, a document filed as classified will be indicated as such by the “locked” icon, as in the sample screen below.

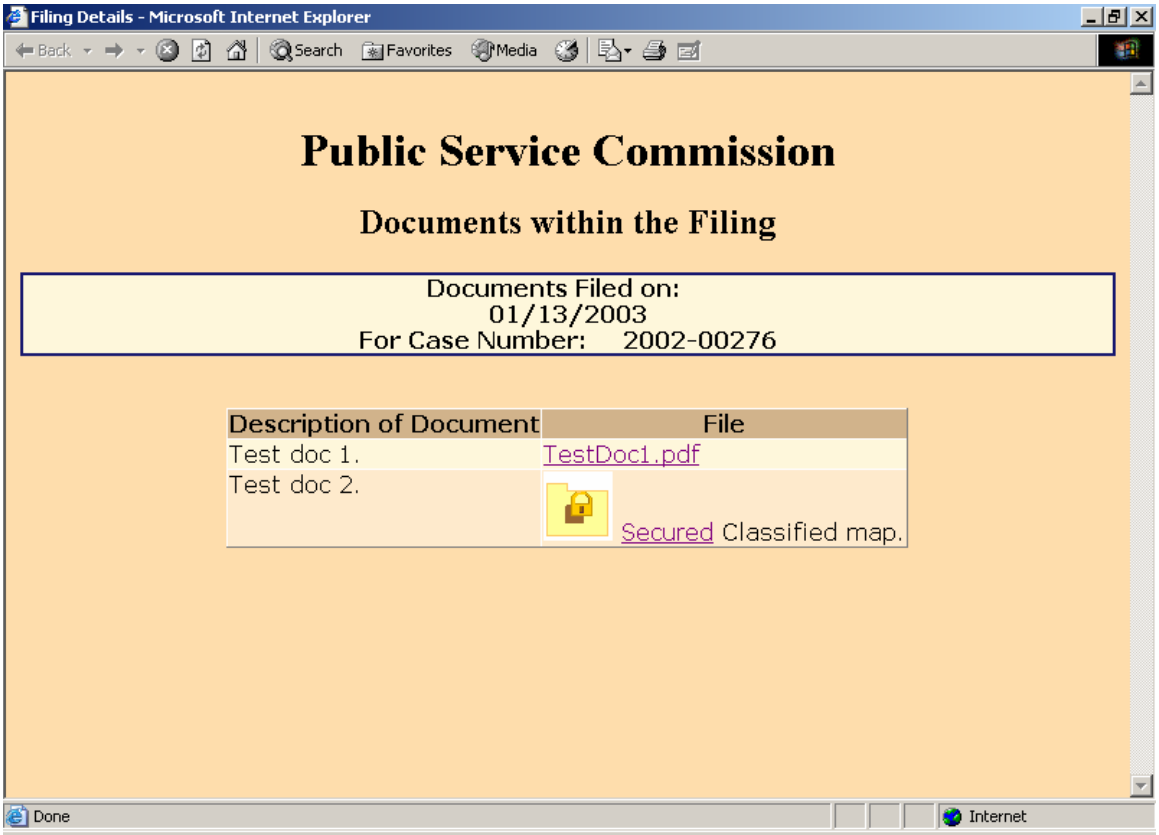


Clicking on the “Document Name” link in the “File” column will open the document in a separate browser window, as in the example below:



Close the document viewer window to return to the “search results” screen, from which you may select another filing or another case.

Filings containing a “classified” map document will appear as in the example screen below. (See discussion of classified maps in section titled “Filing Classified Documents”).



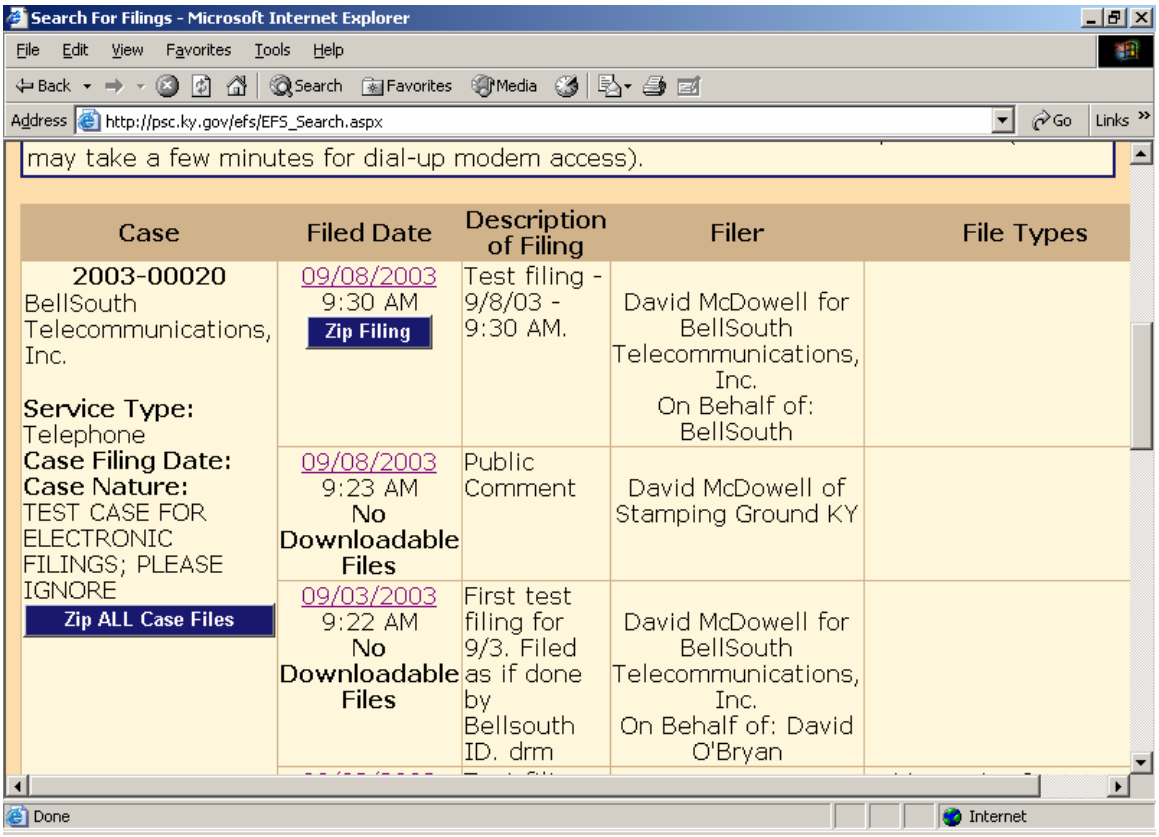
Documents indicated by the “Secured Folder” icon contain information, which may be considered sensitive in terms of public or national security. Click on the “Secured” link for an explanation of the procedure for obtaining public access to these “Classified” documents.

Downloading Case Filings:

When viewing the contents of any individual document, the user may use the web browser's "Save" feature, to save a copy of the document on their local computer.

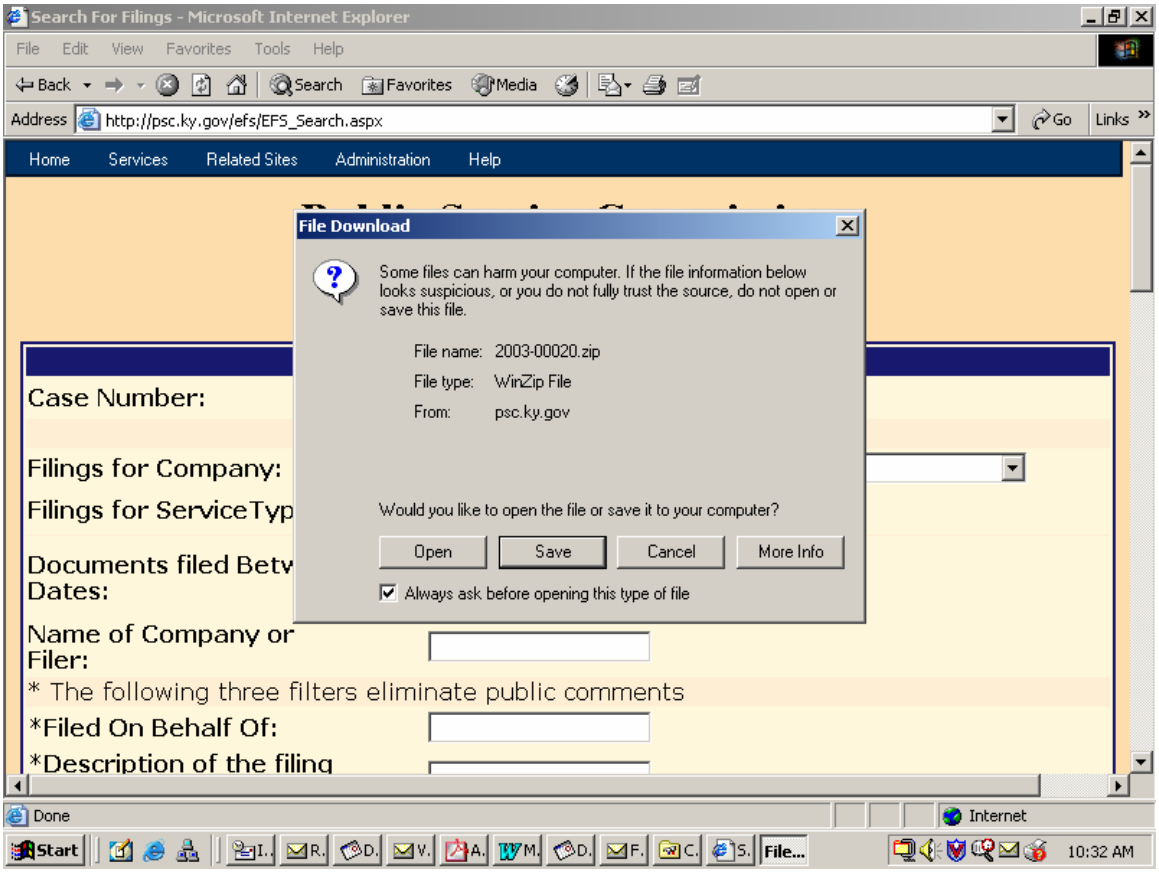
Users may also download all documents included in a filing, by clicking on the corresponding "Zip Filings" link. This procedure compresses all documents into a relatively small "zip" file, which may be stored on the user's local computer.

Extract the compressed documents using any popular document compression software, such as WinZip or PKZip.



If choosing to download all filings for a selected case, choose the link named "Zip All Case Filings", located in the "Case" column.

Clicking the download link opens a dialog box, similar to the following example:



Choose the “Save” button to proceed with saving the compressed file on your local computer or network folder.

Persons unable to download large documents may request them on CD, by contacting the Commission via e-mail at pscfilings@ky.gov or by phone at (502) 564-3940.