

**Public Service Commission
Electronic Case Filing Initiative
Procedures and Guidelines**

Revised 11/23/10

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 7 and higher. The minimum recommended configuration for this application is a current computer running Windows XP or newer operating system with 256 megabytes. However, better performance will result from a faster processor and 512 megabytes of ram or greater, 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.

Account Registration Procedures:

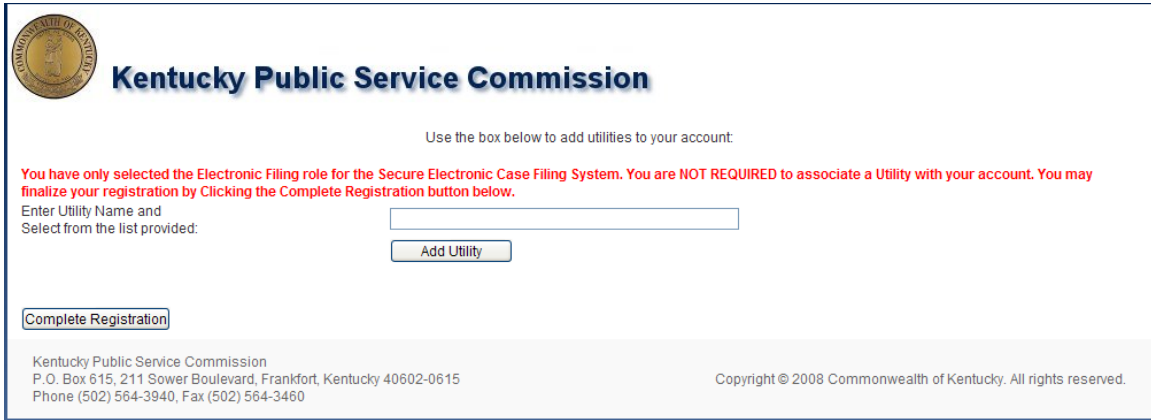
Parties wishing to participate in the electronic filing process must acquire an account by registering at the following address;
<http://psc.ky.gov/Account/Register>.


The screenshot shows the 'Create a New Account' page on the Kentucky Public Service Commission website. The page includes a header with the 75th anniversary logo and navigation menu. The main content area is titled 'Create a New Account' and contains several sections: 'Account Information' with fields for email, password, and confirm password; 'Contact Information' with fields for contact name, organization, address, city, state, postal code, phone, and fax; and 'Roles' with a list of checkboxes for different user roles. A 'Register' button is located at the bottom left of the form.

Section	Field	Value
Account Information	*Email:	john.doe@ky.gov
	*Password:	*****
	*Confirm password:	*****
Contact Information	Is a Utility:	<input checked="" type="checkbox"/>
	*Contact Name:	John Doe
	Organization:	PSC
	Address1:	211 Sower Blvd.
	Address2:	
	City:	Frankfort
	State:	KY
	Postal Code:	40602
	Phone:	(502) 564-3940
	Fax:	(502) 564-3460
Roles	<input type="checkbox"/> Interconnection Agreement Filers	
	<input type="checkbox"/> Utility Financial Report Filers	
	<input checked="" type="checkbox"/> Electronic Filing Filers	
	<input type="checkbox"/> Outage System Regulated Utility	
	<input type="checkbox"/> Outage System Non-Regulated Utility	
	<input type="checkbox"/> Tariff Filers	

In order to create an Electronic Case Filing account, you must check the role labeled, “Electronic Filing Filers”. After completing the page, click the “Register”

button. You will then be presented with a new page to associate a utility with your new account.



 **Kentucky Public Service Commission**

Use the box below to add utilities to your account:

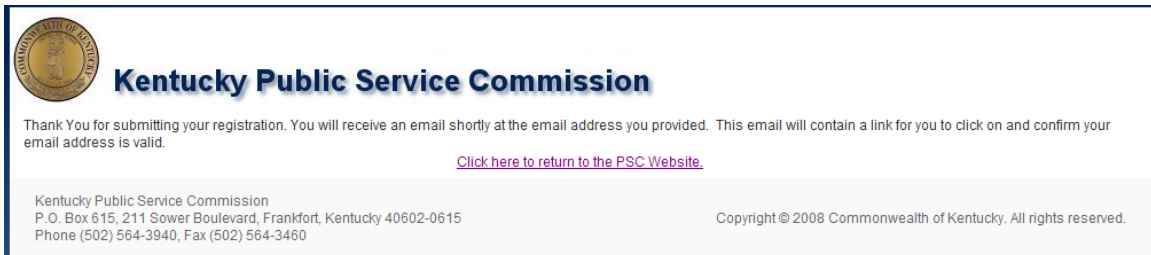
You have only selected the Electronic Filing role for the Secure Electronic Case Filing System. You are NOT REQUIRED to associate a Utility with your account. You may finalize your registration by Clicking the Complete Registration button below.


Enter Utility Name and
Select from the list provided:

Kentucky Public Service Commission
P.O. Box 615, 211 Sower Boulevard, Frankfort, Kentucky 40602-0615
Phone (502) 564-3940, Fax (502) 564-3460

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The Electronic Case Filing system does not require you to associate a utility with your account however you may do so by typing the name of the utility in the box provided. As you type the name, a list should appear for you to select the appropriate utility. Once selected, click the “Add Utility” button. You may add multiple Utilities to your account by repeating the process. To complete, click the “Complete Registration” button. The following screen will appear and you should receive an email requesting to verify that this is your correct email account.



 **Kentucky Public Service Commission**

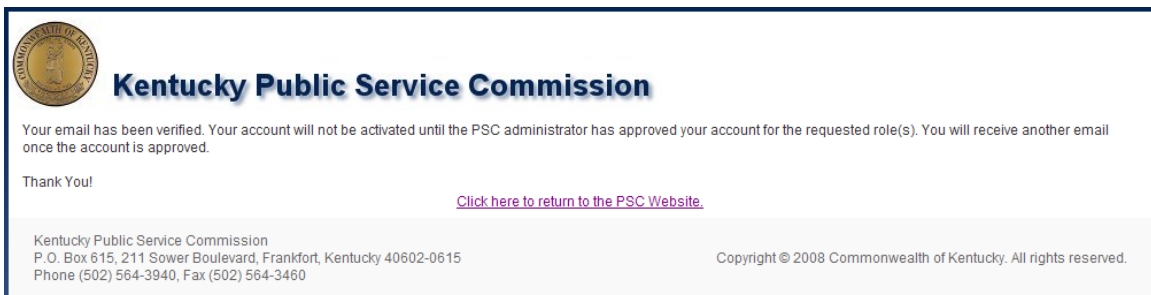
Thank You for submitting your registration. You will receive an email shortly at the email address you provided. This email will contain a link for you to click on and confirm your email address is valid.


[Click here to return to the PSC Website.](#)

Kentucky Public Service Commission
P.O. Box 615, 211 Sower Boulevard, Frankfort, Kentucky 40602-0615
Phone (502) 564-3940, Fax (502) 564-3460

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When you receive the verification email, click on the “Click here” link to complete the verification. After clicking on the link, you will be presented with the following screen.



 **Kentucky Public Service Commission**

Your email has been verified. Your account will not be activated until the PSC administrator has approved your account for the requested role(s). You will receive another email once the account is approved.

Thank You!

[Click here to return to the PSC Website.](#)

Kentucky Public Service Commission
P.O. Box 615, 211 Sower Boulevard, Frankfort, Kentucky 40602-0615
Phone (502) 564-3940, Fax (502) 564-3460

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Once your email has been verified, Public Service Commission staff will review your new account and may contact you to verify authenticity. PSC staff will then

approve/deny your account. Once approved, you will receive an email notification that your account has been approved.

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 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.

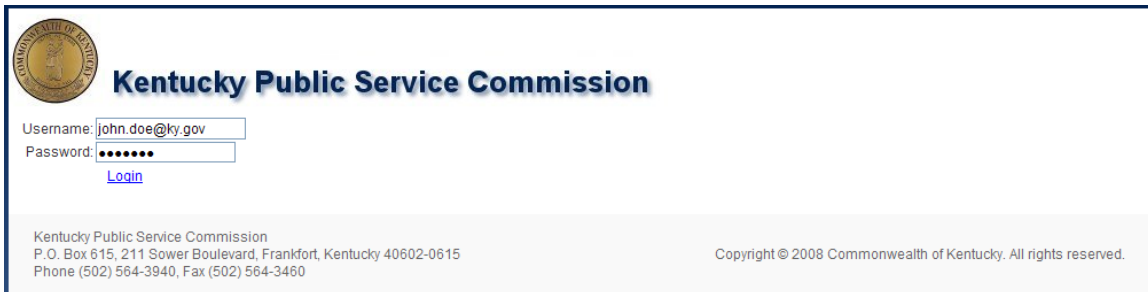
When possible, filers should make every reasonable effort to limit the size of individual documents, within a filing, to a maximum size of approximately 50 megabytes. This suggested size limitation is made in order to accommodate downloading by persons having limited bandwidth Internet connections, as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

Enforced limitations on electronic document filings are as follows:

1. Maximum number of documents per filing = 20
2. Maximum individual document size = 50 megabytes

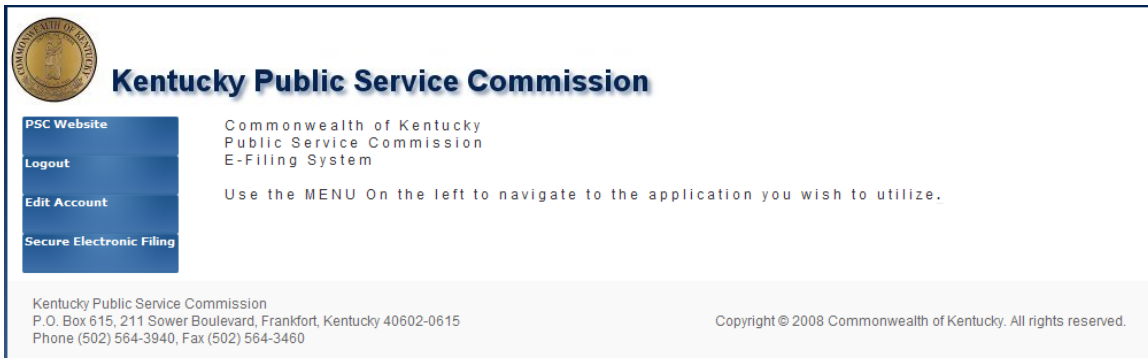
Filing procedures.

Parties will connect to the PSC Electronic Filing Center through the Commission's home page at <http://psc.ky.gov/>. Select the "Commission Records" tab from the main menu, then follow the menu item labeled "Electronic Cases" and click on the "Submit" menu item, which will connect the user to the PSC Web Portal as in the example below. Alternatively, you may click the "Login" link below the main menu.



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 a masked password of seven dots. A blue "Login" link is positioned below the password field. At the bottom, contact information for the Commission is provided on the left, and a copyright notice for 2008 is on the right.

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



The screenshot shows the user menu after logging in. It features the state seal and the title "Kentucky Public Service Commission". On the left, there is a vertical menu with four items: "PSC Website", "Logout", "Edit Account", 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." At the bottom, contact information and a copyright notice are displayed.

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

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@ky.gov.

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 than 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.

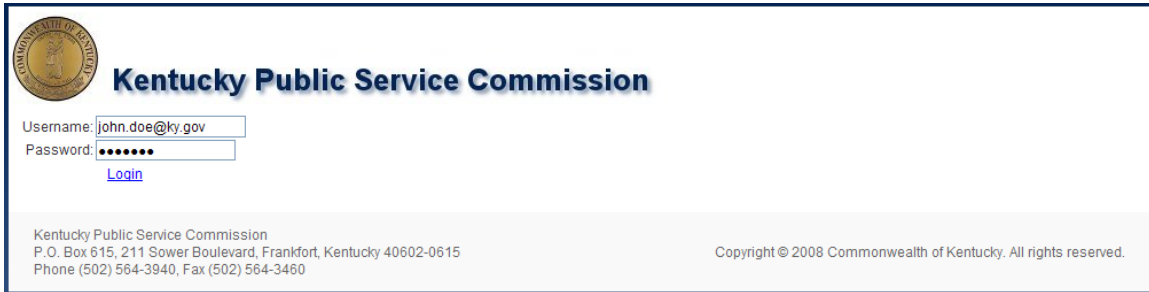
KAW_RT_cdb_042500.pdf – Rebuttal testimony of Coleman D. Bush.

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.)

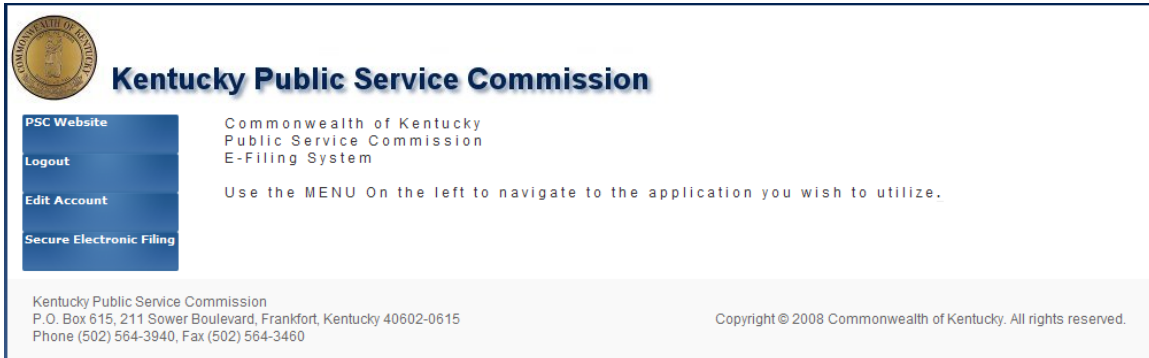
Connecting to the PSC Electronic Filing System:

Parties will connect to the PSC Electronic Filing Center through the Commission’s home page at <http://psc.ky.gov/> . Select the “Commission Records” tab from the main menu, then follow the menu item labeled “Electronic Cases” and click on the “Submit” menu item, which will connect the user to the PSC Web Portal as in the example below. Alternatively, you may click the “Login” link below the main menu.



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 a masked password of seven dots. A blue "Login" link is positioned below the password field. At the bottom, contact information for the commission is provided on the left, and a copyright notice for 2008 is on the right.

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

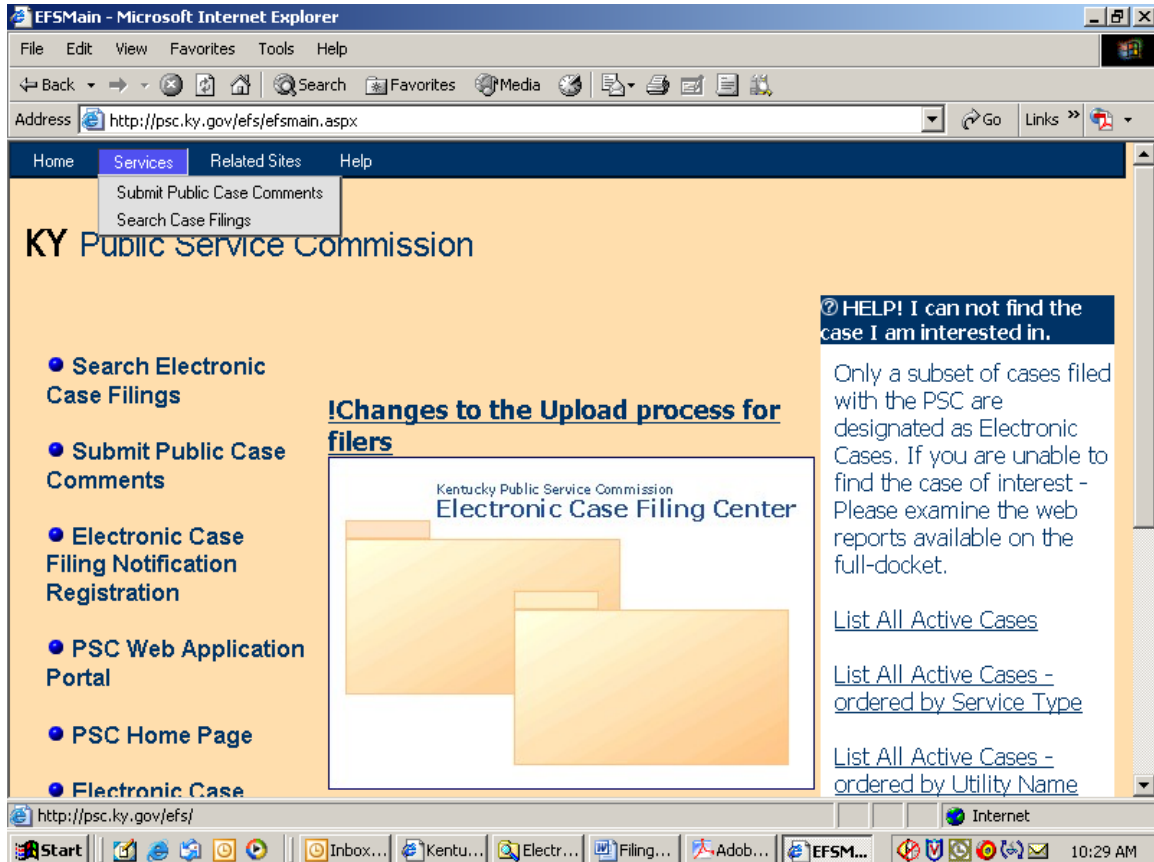


The screenshot shows the user menu after logging in. It features the state seal and the title "Kentucky Public Service Commission". On the left, there is a vertical menu with four blue buttons: "PSC Website", "Logout", "Edit Account", and "Secure Electronic Filing". To the right of the menu, the text 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." The bottom of the page contains the same contact information and copyright notice as the login page.

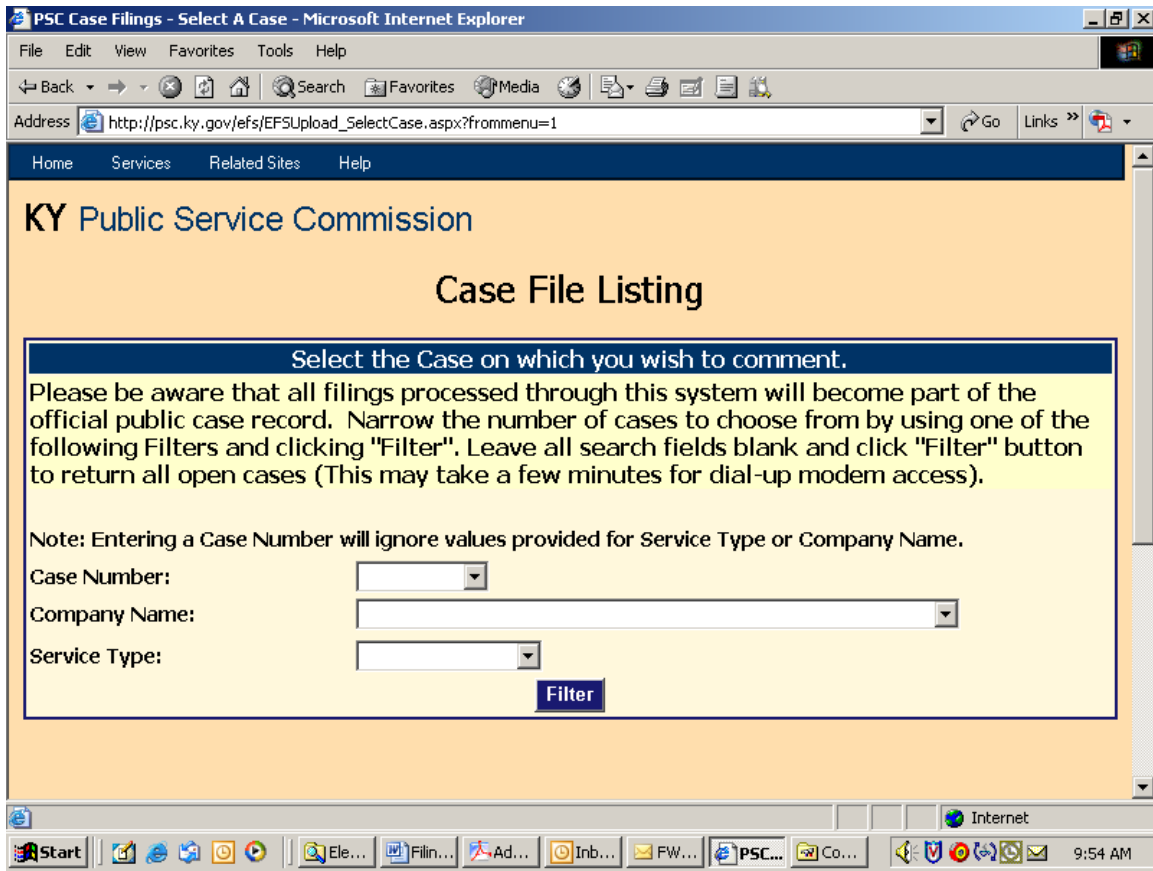
Click on the “Secure Electronic Filing” menu item to launch the Electronic Case Filing System.

Submitting Public Comments:

Citizens wishing to submit **public comments** regarding an open case may do so by selecting the “Commission Records” tab from the main menu, then follow the menu item labeled “Electronic Cases” and click on the “Search” menu item, which will connect the user to the Electronic Case Filing System (as seen below).



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:

Case Number:

Company Name:

Service Type:

Results List

Case Number	Company	Nature of the Case	Style of the Case	Type of Utility Service
2002-00277	Kentucky-American Water Company	RWE Aktiengesellschaft, Thames Water Aqua Holdings GMBH, & American Water Works	COMPLIANCE OF KENTUCKY-AMERICAN WATER COMPANY, AMERICAN WATER WORKS COMPANY, RWE AKTIENGESELLSCHAFT AND THAMES WATER AQUA HOLDINGS GMBH WITH THE PROVISIONS OF THE ORDERS APPROVING THE TRANSFER OF CONTROL OF KENTUCKY-AMERICAN WATER COMPANY TO RWE AKTIENGESELLSCHAFT AND THAMES WATER AQUA HOLDINGS GMBH	Water

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.)

The screenshot shows a Microsoft Internet Explorer browser window titled "PSC Cases - Public Comments". The address bar contains the URL: <http://psc.ky.gov/efs/EFSPublicComment.aspx?case=2002-00277&company=Kentucky-American%20Water%20Company>. The main content area features a text box with the following instructions: "Please complete the form below and click the submit button to submit your comments to the KY-PSC for review. Items denoted with an asterisk(*) are required. **Any person using this application for the purposes of public comment should understand that your information will become a part of the official public case record.** Please do not submit any information which you do not wish to be considered public information." Below this is a form with the following fields:

Selected Case Number	Company
2002-00277	Kentucky-American Water Company
* Denotes Required Field	
Full Name*	<input type="text"/>
Address Line 1*	<input type="text"/>
Address Line 2	<input type="text"/>
City*	<input type="text"/>
State*	<input type="text"/>
Zip*	<input type="text"/>
Phone Number	<input type="text"/>
e-Mail	<input type="text"/> (Enter if you wish to receive confirmation)
Comments*	<input type="text"/>

The browser's status bar at the bottom shows "Done" and "Internet".

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.

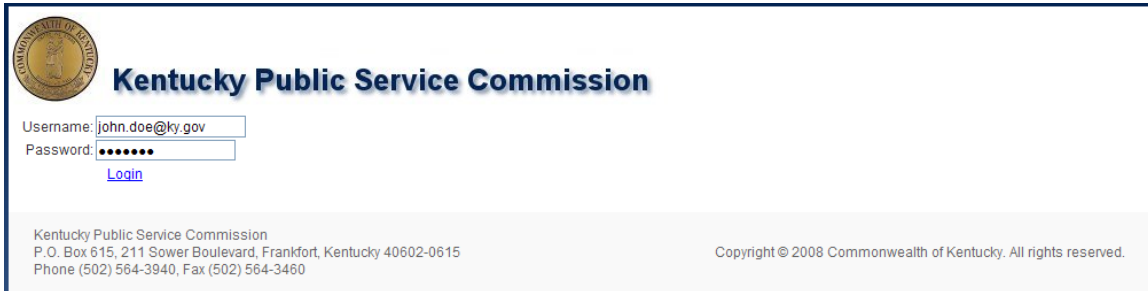
After review of your comments by our filing clerk, your comments will be “posted” to our “Electronic Case File”, from which all comments and filings will become available for public access via this Electronic Filing Center system.

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):

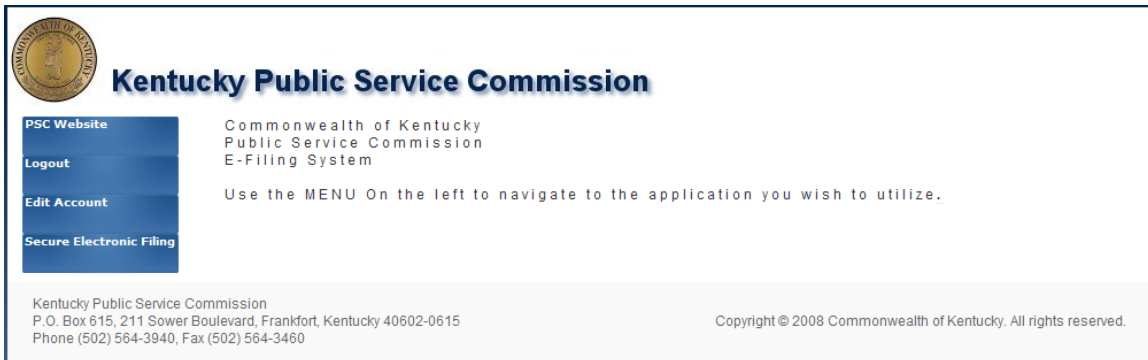
In order for a party of record to submit electronic case filings (other than public comments), the filer must have obtained an account ID and password, using the procedures discussed above in the “Account Registration Procedures” section. After obtaining your electronic case filing account and password,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

Connect to the PSC Electronic Filing Center through the Commission’s Web address at: <http://psc.ky.gov>. Select the “Commission Records” tab from the main menu, then follow the menu item labeled “Electronic Cases” and click on the “Submit” menu item, which will connect the user to the PSC Web Portal as in the example below. Alternatively, you may click the “Login” link below the main menu.



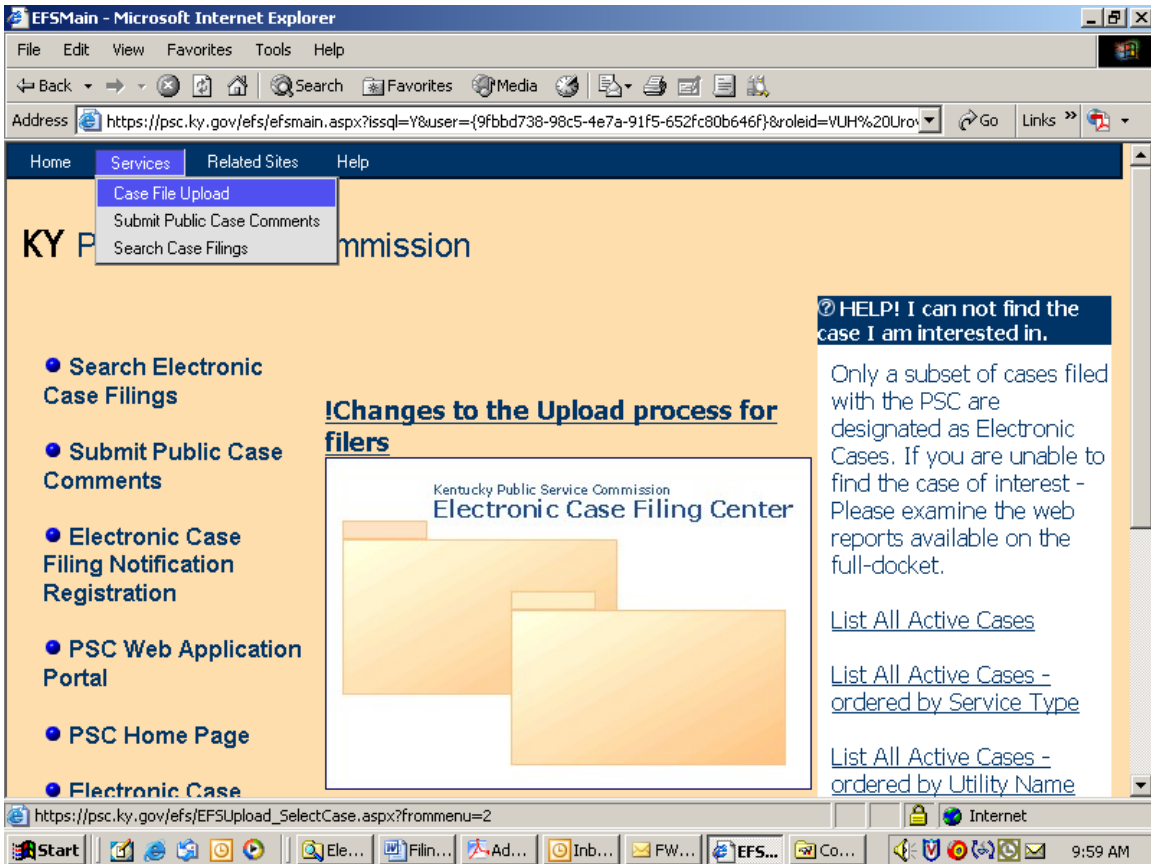
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Enter your email and password and click “Login”. Once logged in you will be presented with a menu, as seen below.

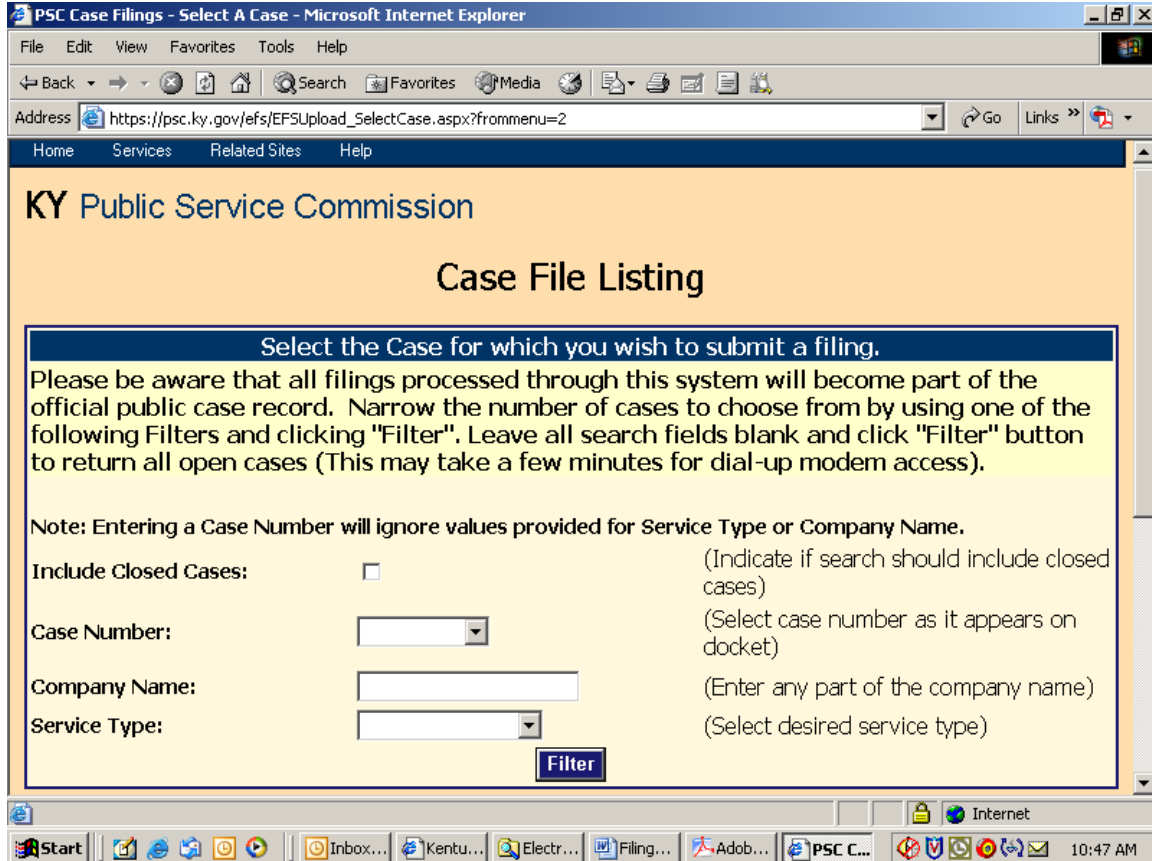


The screenshot shows the user menu after logging in. It features the state seal and the title "Kentucky Public Service Commission". On the left is a vertical menu with four items: "PSC Website", "Logout", "Edit Account", and "Secure Electronic Filing". To the right of the menu, the text reads "Commonwealth of Kentucky Public Service Commission E-Filing System" and "Use the MENU On the left to navigate to the application you wish to utilize." The bottom of the page contains the same contact information and copyright notice as the login page.

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. 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:



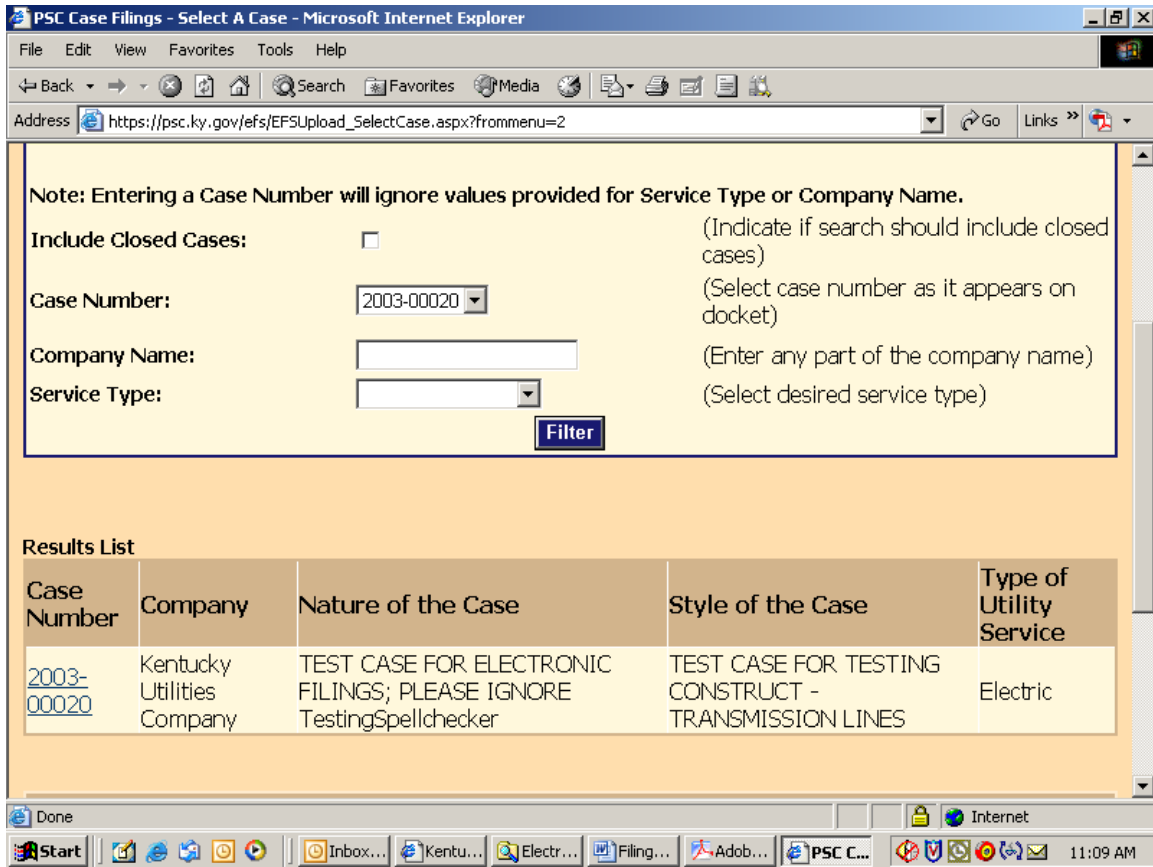
This screen is used to select the case for which you wish to submit electronic filings. You may select an individual case from the drop-down list in the “Case Number” window; or search for cases by using one, or both, of the “Company Name” or “Service Type” boxes. You may also obtain a listing of all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

Note:

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.

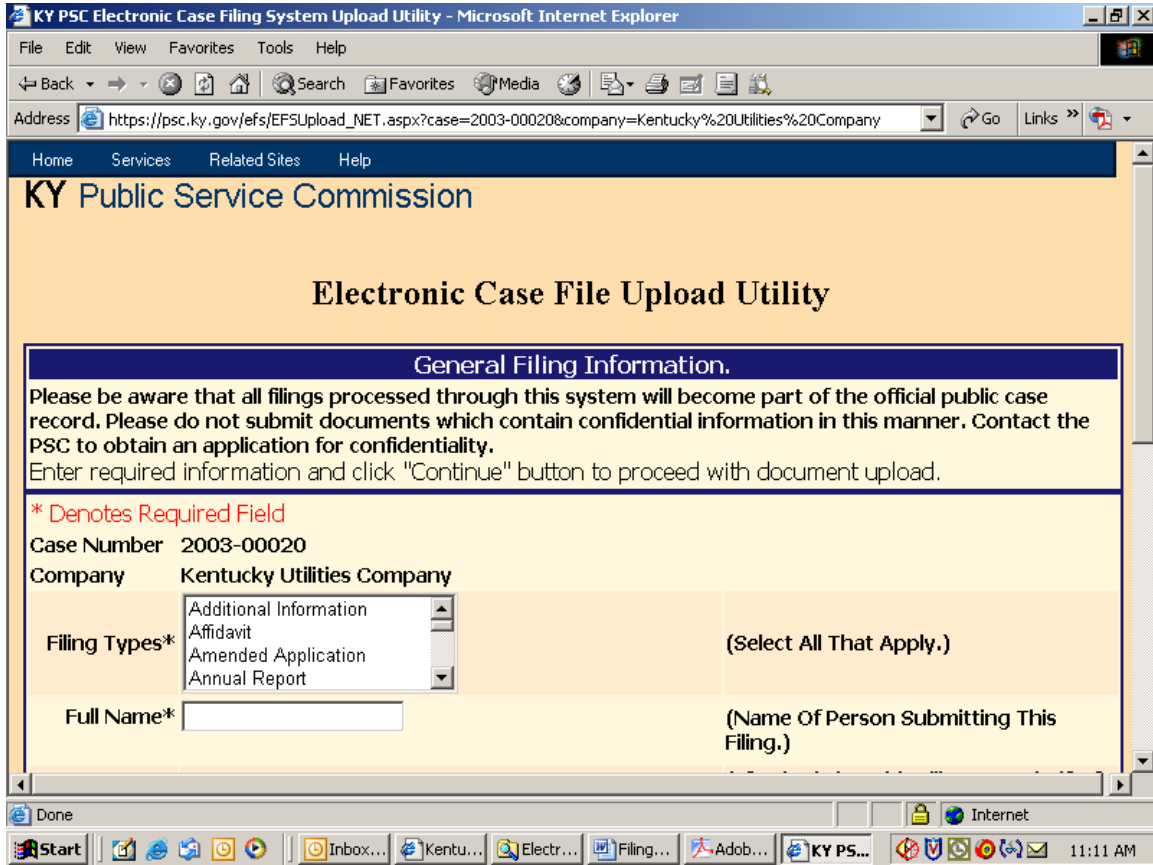
Your “filter” will yield a search results screen as in the example below:



Click on the case number 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:

PSC E Filing System Upload Utility - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Home Search Favorites Media

On Behalf Of

(If Submitting This Filing On Behalf Of Another, Enter That Person's Name Here.)

Filing Description*

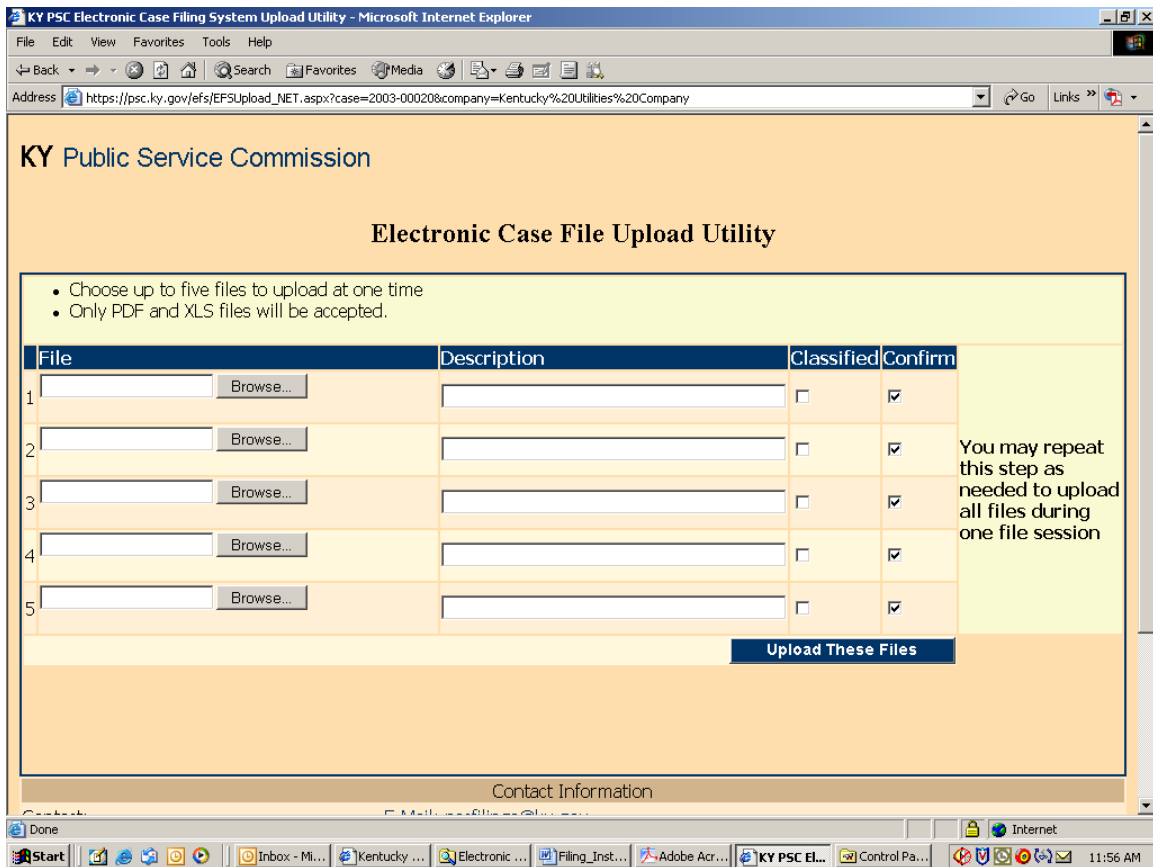
(Enter A Brief General Description Of The Filing.)
*Not For Description Of Individual Documents.

Continue

Done Internet

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

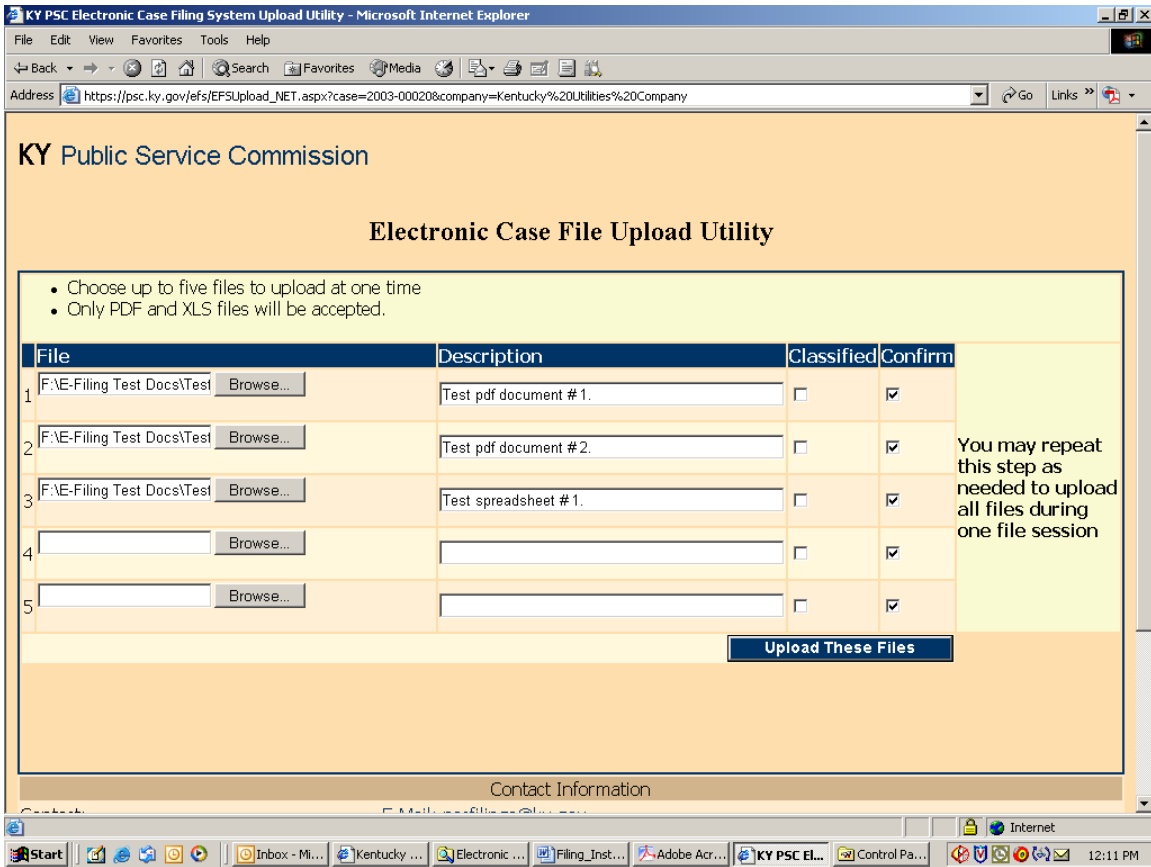
Your screen will be refreshed with the following page for selecting documents to be uploaded.



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.

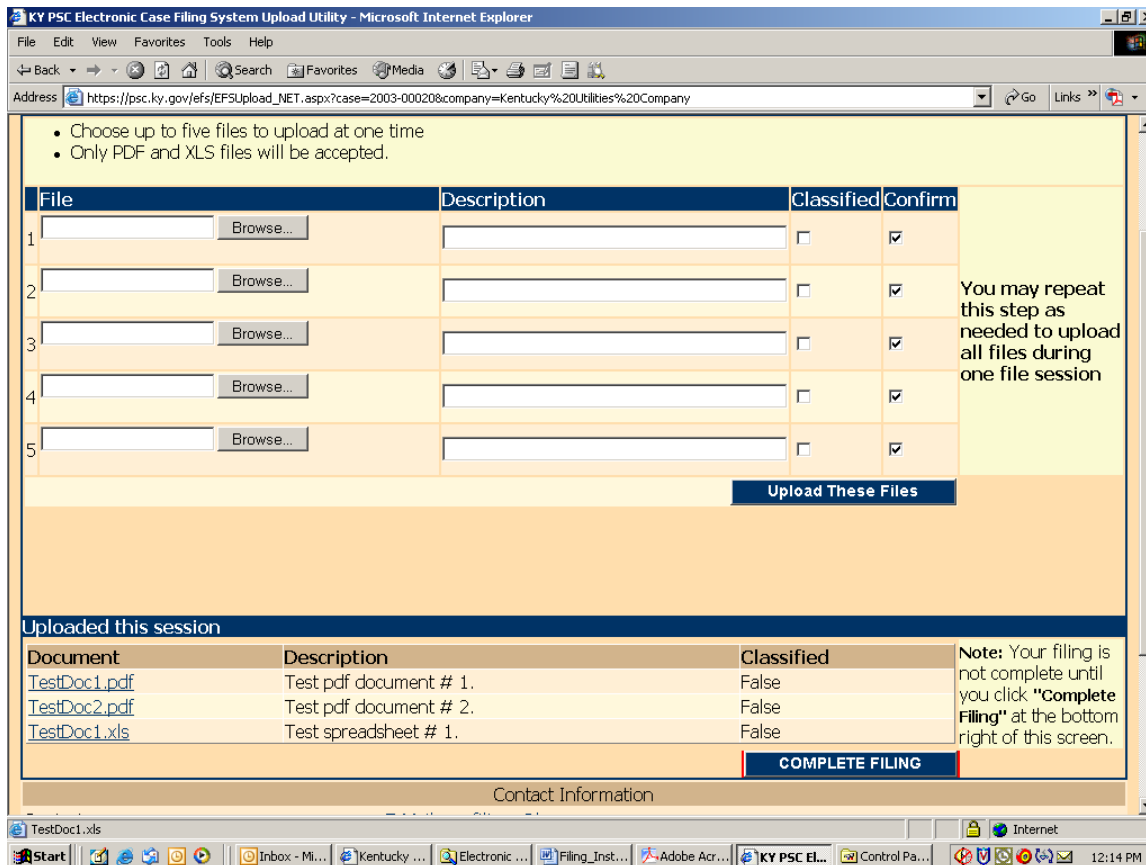
If your filing consists of more than twenty documents, you may initiate a new filing session and indicate that you are making a continuation filing within the initial “Filing Description” window.

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 always choose the button labeled “Upload These Files” in order to process any additional documents selected.

If you have included a document which you wish not 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.

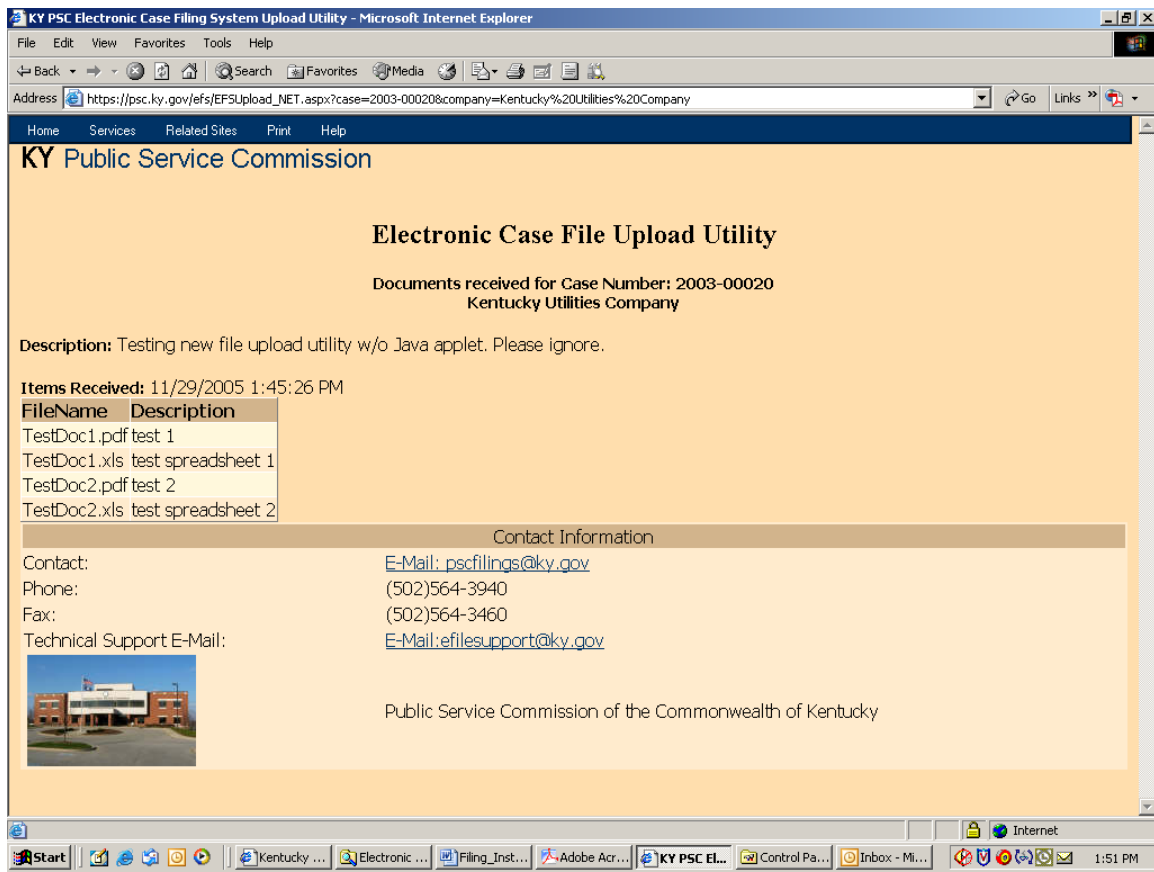
Important: When you have finished uploading all required documents, you must choose the button labeled “Complete Filing” located at the lower right corner of the page. None of your selected documents will be saved on our server until you click the “Complete Filing” button.

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

Important: 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.

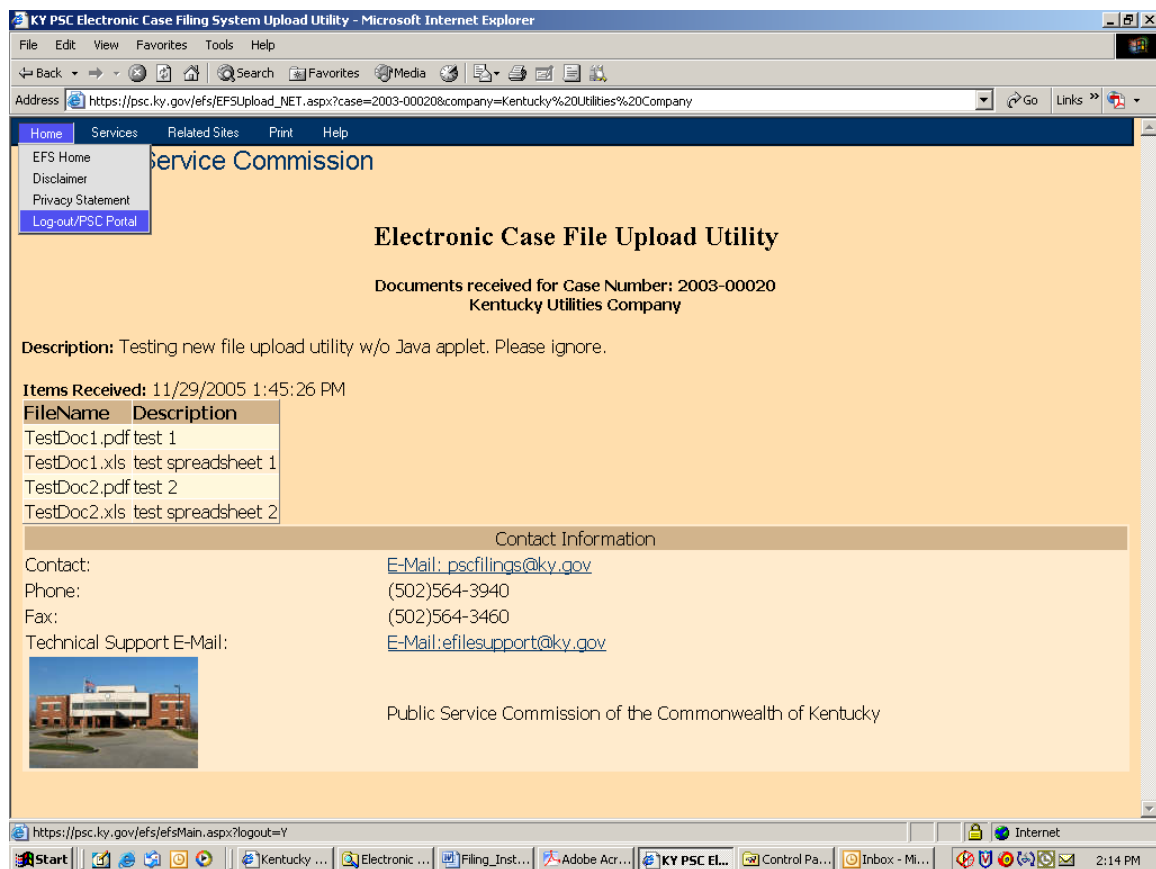


You may print this confirmation screen by using the "File" / "Print" command from the Internet Explorer tool bar or by choosing the "Print" selection at the top of the confirmation screen menu.

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 selecting the “Commission Records” tab from the main menu, then follow the menu item labeled “Electronic Cases” and click on the “Search” menu item, which will connect the user to the Electronic Case Filing System (as seen below).

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

The screenshot displays the EFSMain website interface within a Microsoft Internet Explorer browser window. The browser's address bar shows the URL <http://psc.ky.gov/efsmain.aspx>. The website's navigation menu includes 'Home', 'Services', 'Related Sites', and 'Help'. The 'Services' menu is expanded, highlighting 'Search Case Filings'. The main content area features the 'KY Public Service Commission' logo and a list of services, including 'Search Electronic Case Filings', 'Submit Public Case Comments', 'Electronic Case Filing Notification Registration', 'PSC Web Application Portal', 'PSC Home Page', and 'Electronic Case Filing Help'. A central banner titled '!Changes to the Upload process for filers' highlights the 'Electronic Case Filing Center'. To the right, a blue box contains a message: 'HELP! I can not find the case I am interested in. Only a subset of cases filed with the PSC are designated as Electronic Cases. If you are unable to find the case of interest - Please examine the web reports available on the full-docket.' Below this message are links for 'List All Active Cases', 'List All Active Cases - ordered by Service Type', 'List All Active Cases - ordered by Utility Name', and 'All Available Docket Reports'. At the bottom, a 'Contact Information' section provides details for contact, phone, fax, and technical support. The taskbar at the bottom shows various open applications and the system clock at 9:30 AM.

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

KY Public Service Commission

Search for Electronic Case Filings

**** Available Filters:**
Use any one or combine Case and Filing filters below. At least one filter must be used.

Case Related Filters Use these filters to select filings which pertain to specific Electronic Cases	Use a Known Case Number	OR	Provide details about the company involved in a Case. Use either or both filters.
	Case Number [Text Input] (YYYY-00000)		Company Name [Dropdown Menu]
Filing Related Filters Use these filters to further specify the filings returned.			Service Type [Dropdown Menu]
	If no results are returned try including closed cases		
	Include Closed Cases:	<input type="checkbox"/>	
	Documents filed Between Dates:	From [Date Picker] (M/D/YYYY)	To [Date Picker] (M/D/YYYY)
	Name of Company or Filer:	[Text Input]	
* The following three filters eliminate public comments			
	*Filed On Behalf Of:	[Text Input]	
	*Description of the filing or document:	[Text Input]	
	*Filing Type:	[Dropdown Menu]	

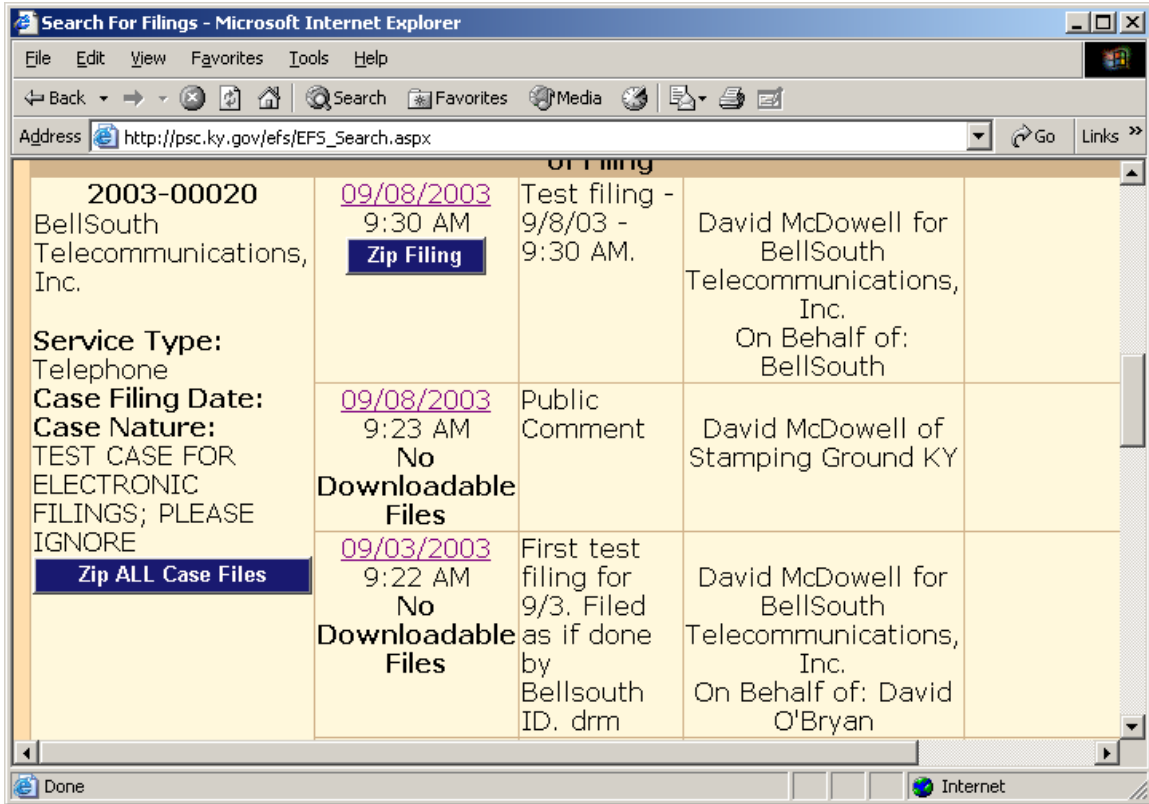
Filter

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 all open case filings 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 below 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.

Public Service Commission

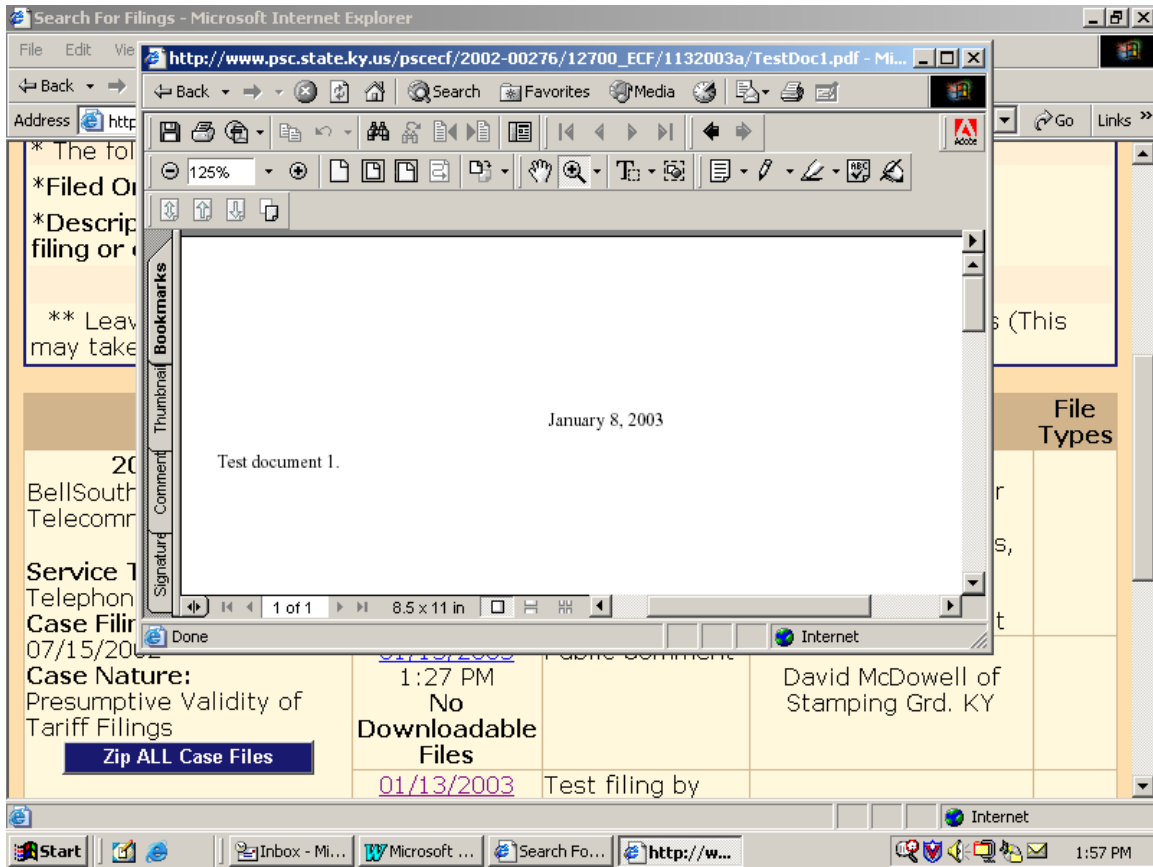
Documents within the Filing

Documents Filed on:
09/08/2003
For Case Number: 2003-00020

Description of Document	File
Test Doc 2.	 Secured Test_Classified_Doc.pdf Post classified doc.
Test Doc 1.	Test_doc_1.pdf Post regular doc.
Test Doc 3.	 Test_Reject_Doc.pdf Reject test doc.

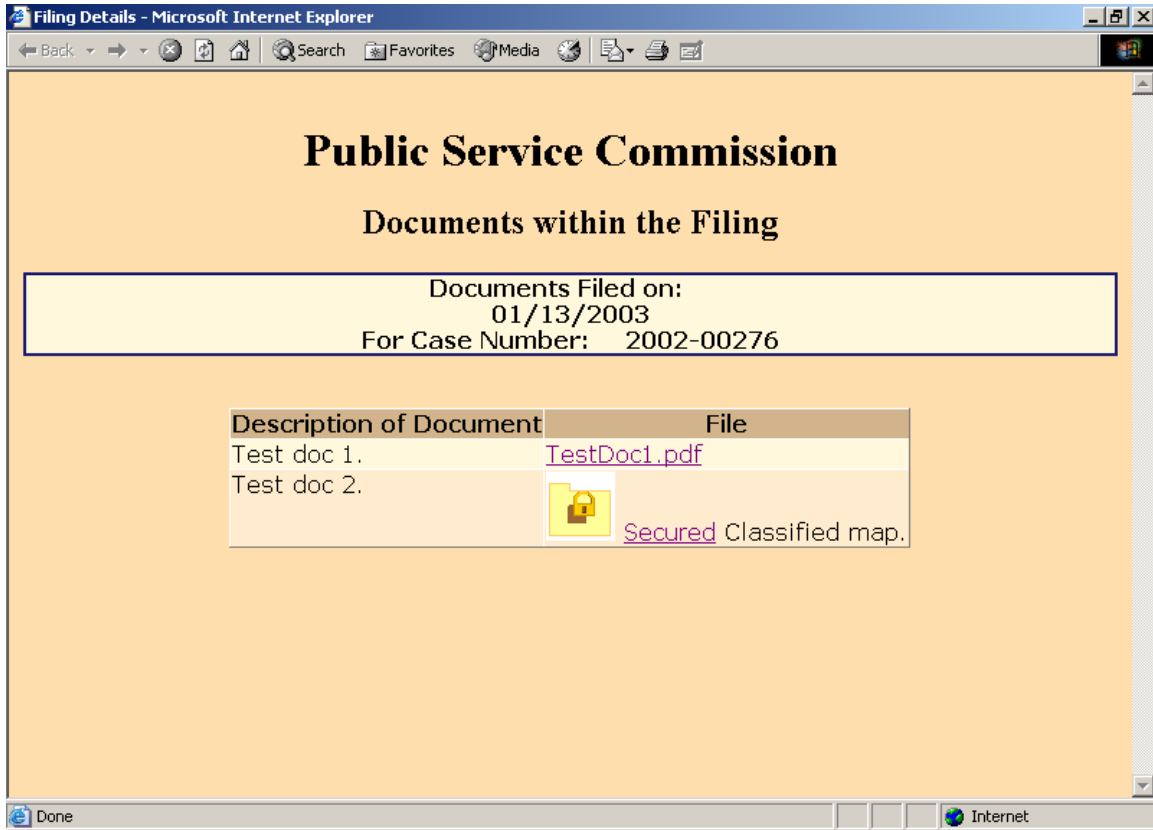
Done Internet

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”).



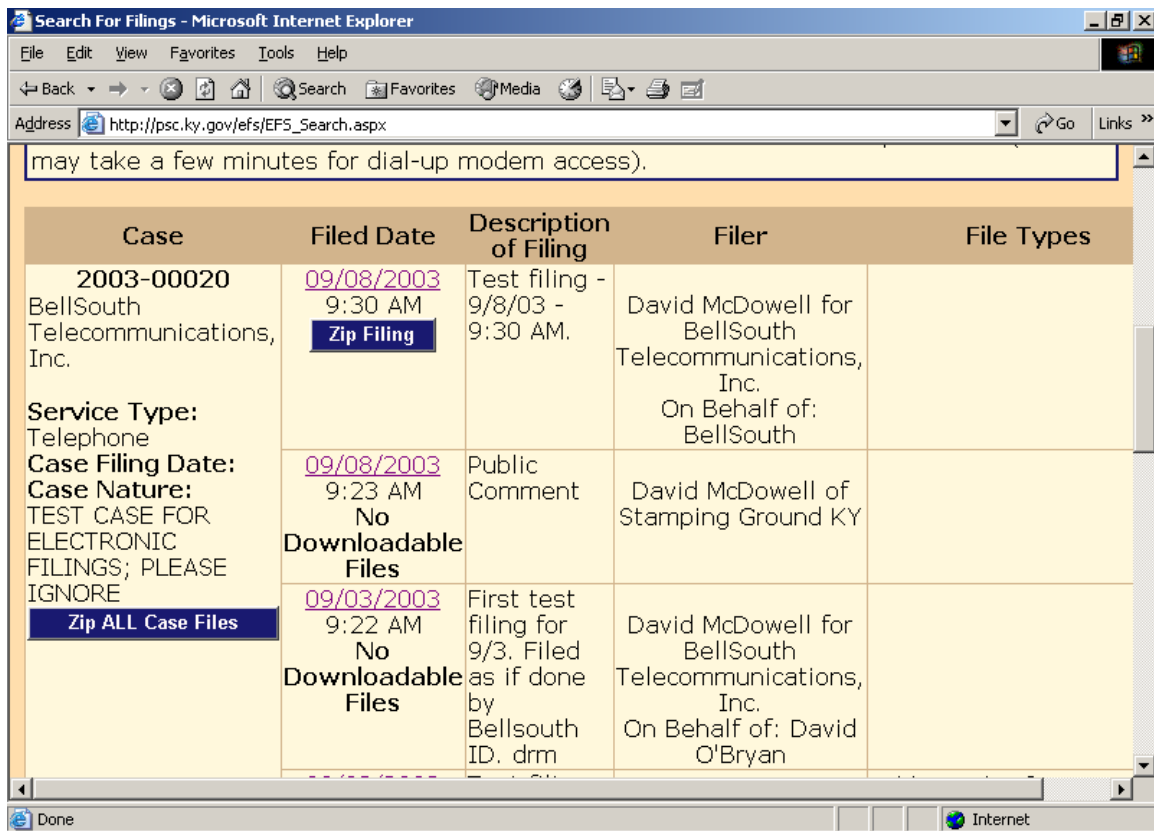
Documents indicated by the “Secured Folder” icon contain information, which may be considered sensitive in terms of public or national security. Click on the “Secured” link for an explanation of the procedure for obtaining public access to these “Classified” documents.

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.

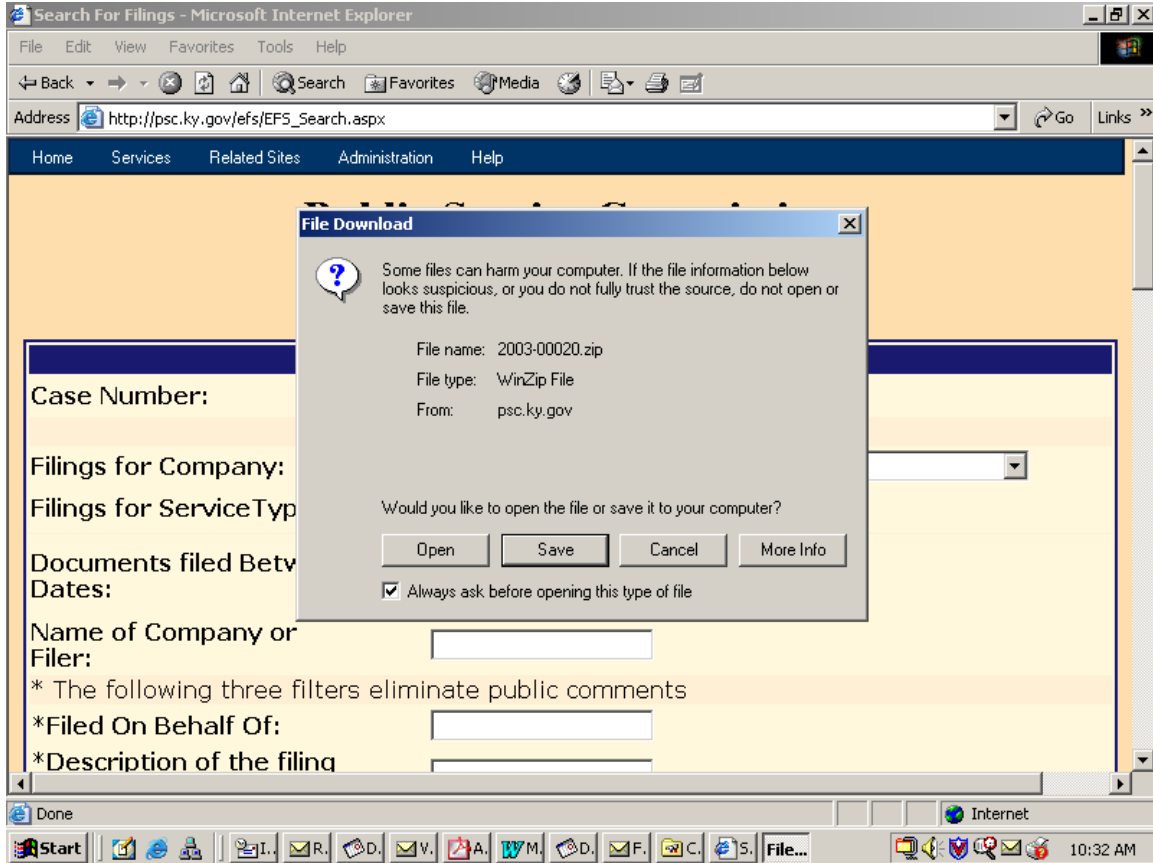
Extract the compressed documents using any popular document compression software, such as WinZip or PKZip.



Case	Filed Date	Description of Filing	Filer	File Types
2003-00020 BellSouth Telecommunications, Inc. Service Type: Telephone Case Filing Date: Case Nature: TEST CASE FOR ELECTRONIC FILINGS; PLEASE IGNORE Zip ALL Case Files	09/08/2003 9:30 AM Zip Filing	Test filing - 9/8/03 - 9:30 AM.	David McDowell for BellSouth Telecommunications, Inc. On Behalf of: BellSouth	
	09/08/2003 9:23 AM No Downloadable Files	Public Comment	David McDowell of Stamping Ground KY	
	09/03/2003 9:22 AM No Downloadable Files	First test filing for 9/3. Filed as if done by Bellsouth ID. drm	David McDowell for BellSouth Telecommunications, Inc. On Behalf of: David O'Bryan	

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.