Utility Financial Report – UFR - electronic filing system

(Revised 12/2012 - BB)

When your company has requested and received a login ID and password you will be authorized to electronically file utility financial reports using the new UFR system. You will still be required to file one original signed and notarized Annual Report Oath Page. The Report of Gross Operating Revenues will still be required in hardcopy format.

Overview of steps:

- Login to the PSC Portal
- Select the UFR system
- Initiate a Filing by entering the correct report period
- Enter the correct information for each schedule. **Be sure to save each schedule**.
- When all schedules are completed:
  - o Check for outstanding errors using the checklist and correct
  - o Mark the Filing as Complete
  - o Print a paper copy of all schedules (oath page included)
  - o Notarize oath page as required.

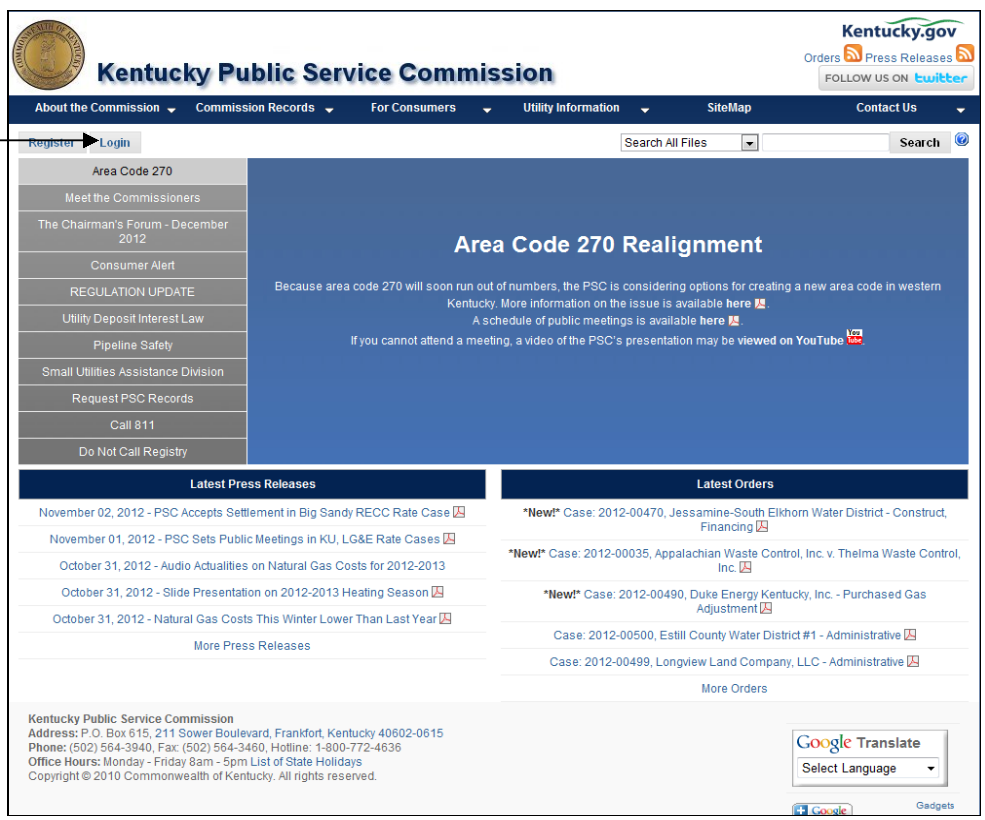
Requirements:

To submit a financial report successfully you must use Internet Explorer version 5.5 or better. You must enable cookies and pop-up windows. You must allow java script to run within each page. You must have Adobe Acrobat Reader installed for printing individual schedules or the complete report.

Detail of each step mentioned in the overview:

Login to the PSC Portal:

From the PSC home page (psc.ky.gov), click the "Login" button.



Username and Password:

The next screen is the log-in page. Enter your PSC-provided username and password into the appropriate fields.

The Portal:

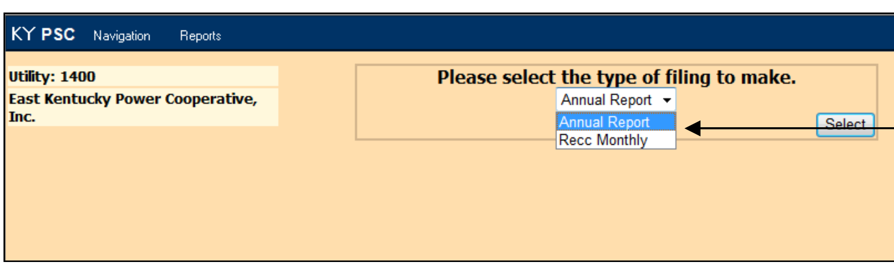
Click the “UFR” button to access the electronic filing system

UFR – Electronic Filing System

After clicking the “UFR” button as shown in the example above, the initial page of the UFR (or “electronic filing system”) will open. This page should list your Utility ID and company name on the far left of the screen.

If you are a Rural Electric Company that is required to file both annual and monthly reports, you will be prompted to choose which report you are filing for.

Utility ID and Company Name



Annual and Monthly Report option for RECC companies

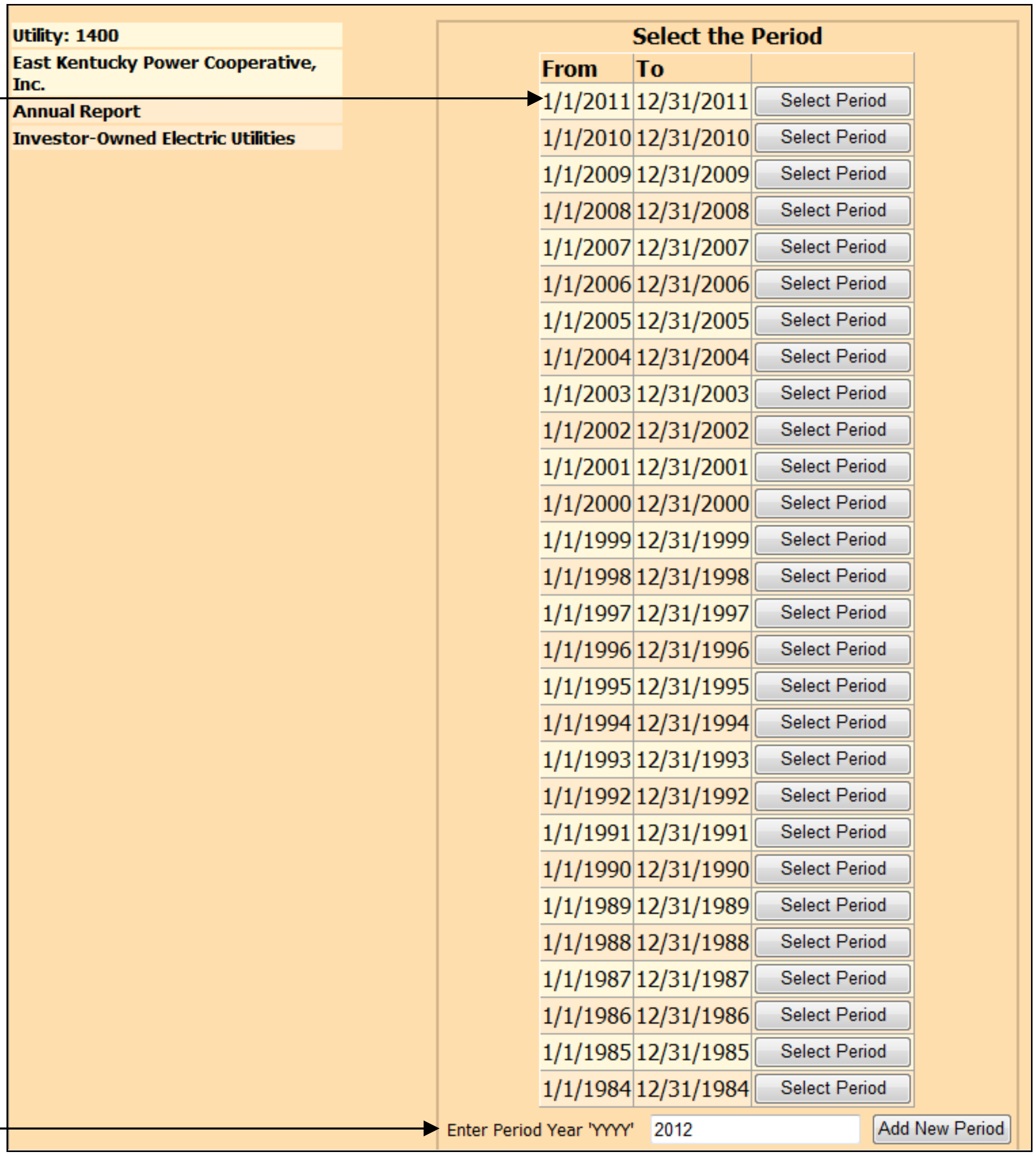
All non-RECC companies will automatically proceed to the Annual Report period menu.

Annual Report Period Menu

Select the correct report period. If the period is not listed, enter the four digit year in the textbox at the bottom of the list and click the “Add New Period” button.

Remember that the reporting period is for the previous calendar year. For example, a report filed in March of 2013 should be for the reporting period of January – December of 2012.

The appropriate reporting year will appear at the top. Bear in mind, when selecting the reporting period, it will be for the previous calendar year.



Utility: 1400
East Kentucky Power Cooperative, Inc.
Annual Report
Investor-Owned Electric Utilities

Select the Period

From	To	
1/1/2011	12/31/2011	Select Period
1/1/2010	12/31/2010	Select Period
1/1/2009	12/31/2009	Select Period
1/1/2008	12/31/2008	Select Period
1/1/2007	12/31/2007	Select Period
1/1/2006	12/31/2006	Select Period
1/1/2005	12/31/2005	Select Period
1/1/2004	12/31/2004	Select Period
1/1/2003	12/31/2003	Select Period
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1/1/1993	12/31/1993	Select Period
1/1/1992	12/31/1992	Select Period
1/1/1991	12/31/1991	Select Period
1/1/1990	12/31/1990	Select Period
1/1/1989	12/31/1989	Select Period
1/1/1988	12/31/1988	Select Period
1/1/1987	12/31/1987	Select Period
1/1/1986	12/31/1986	Select Period
1/1/1985	12/31/1985	Select Period
1/1/1984	12/31/1984	Select Period

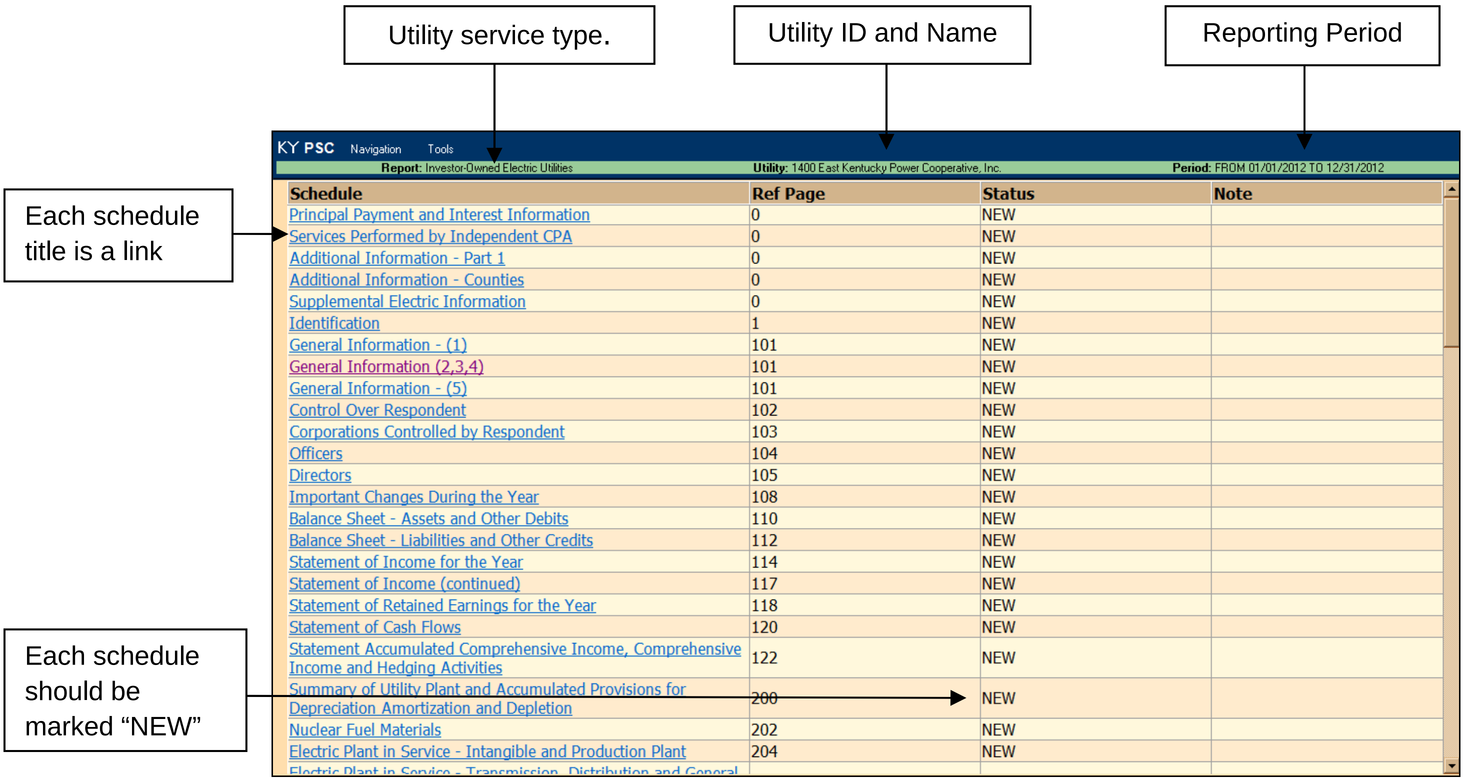
Enter Period Year 'YYYY' 2012 Add New Period

Only in cases when the correct reporting year has not already been automatically generated, you can add a new period at the bottom of the list.

Just type the appropriate year and click the “Add New Period Button”.

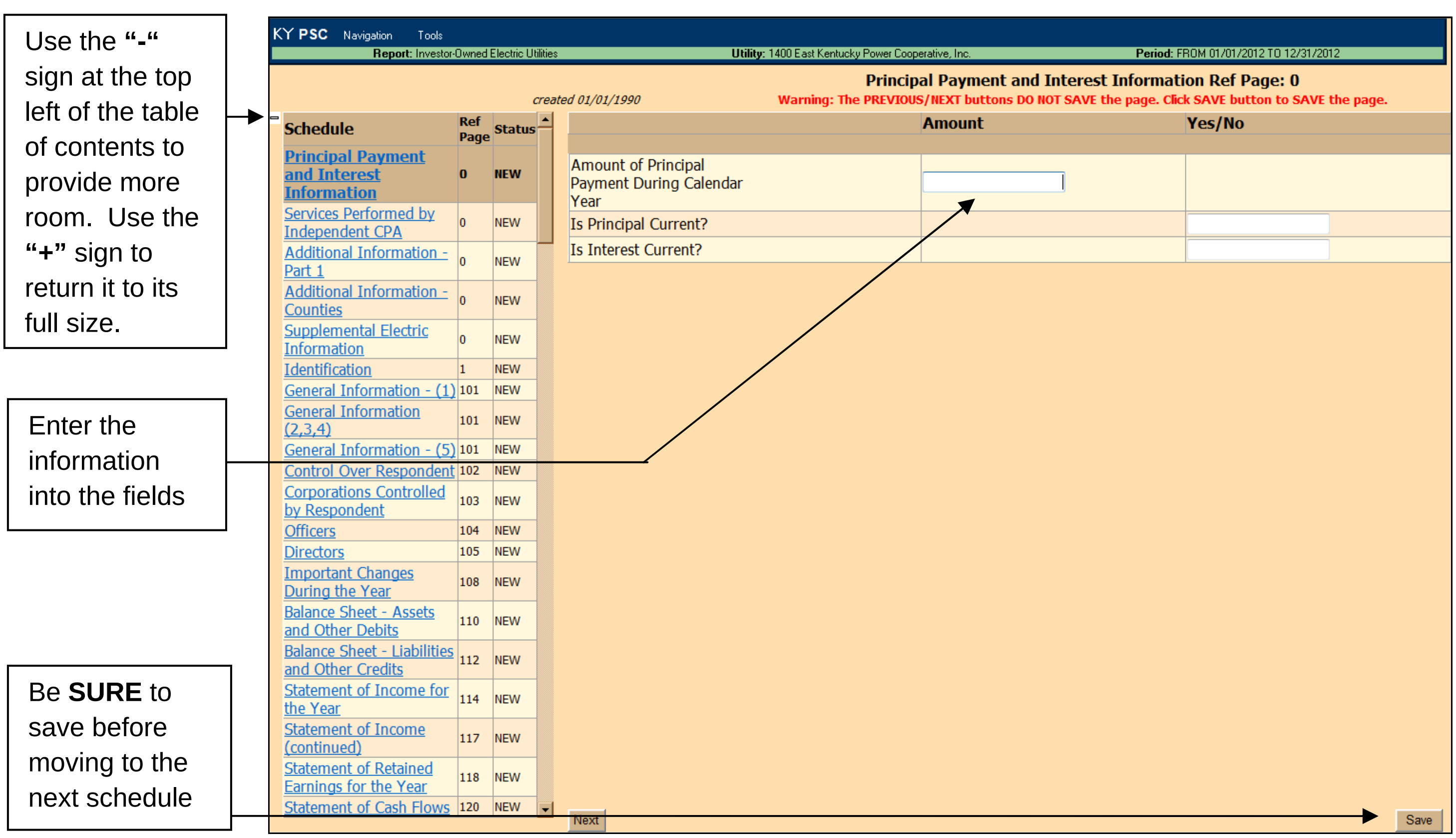
Annual Report Entry Page

Once the period had been selected, the screen will display a table of contents of all the schedules included in the Annual Report. The status for each schedule should be marked “**NEW**”. The title of each schedule is a link.



Schedule Data Entry

After clicking on the first schedule link, your screen will be presented in two frames. The left frame contains the table of contents.

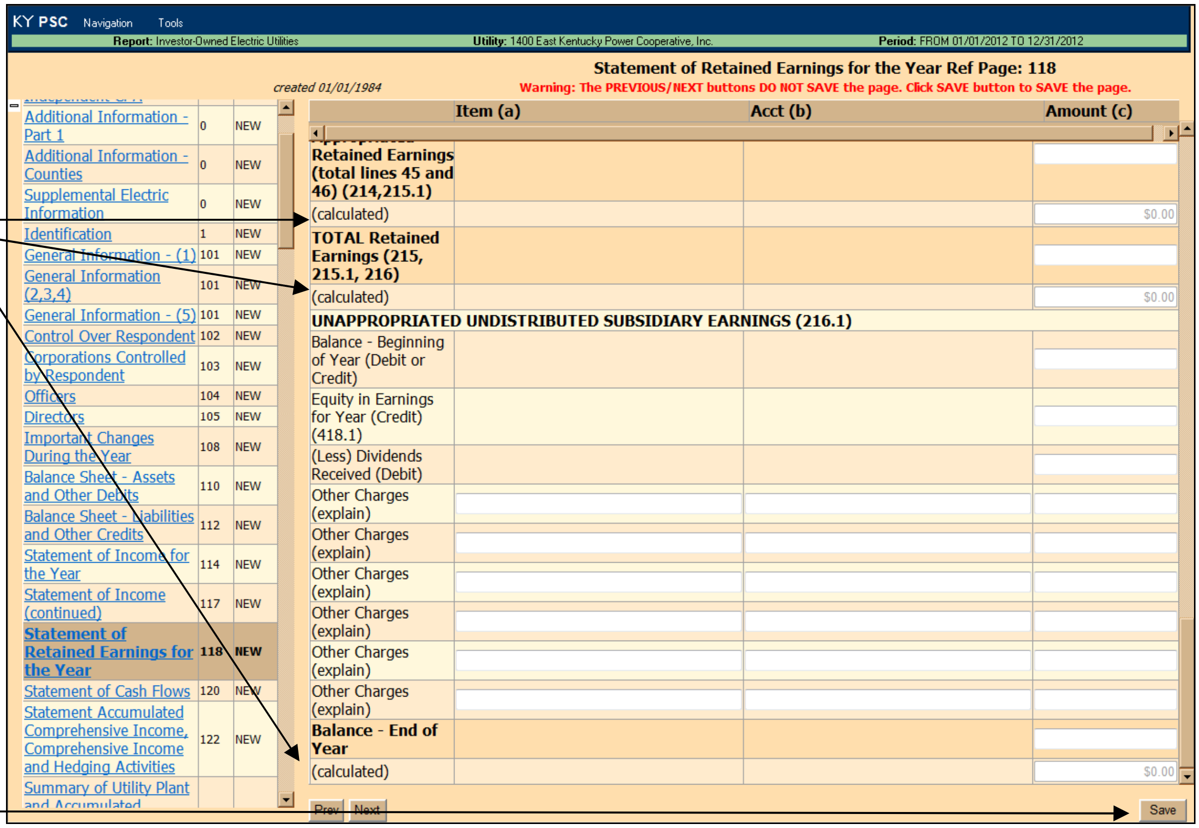


Schedule Balances

When values are entered into the schedule columns, there will be un-editable **"(calculated)"** rows to periodically check the figures. After clicking **"Save"** at the bottom right-handed corner of the page, the **"(calculated)"** row may turn red. If it turns red, corrections need to be made to the data entered.

The "(calculated)" rows will help keep track of figure balances.

When you click save, check the "(calculated)" rows for errors. If it turns **red**, there is an adding error.

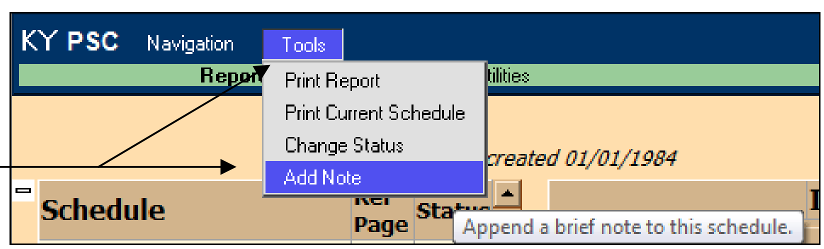


Making Notes

Step 1: If you need to attach a special note to a schedule, click the menu item "Tools", located at the top left portion of the screen. Scroll down to the submenu and click "Add Note".

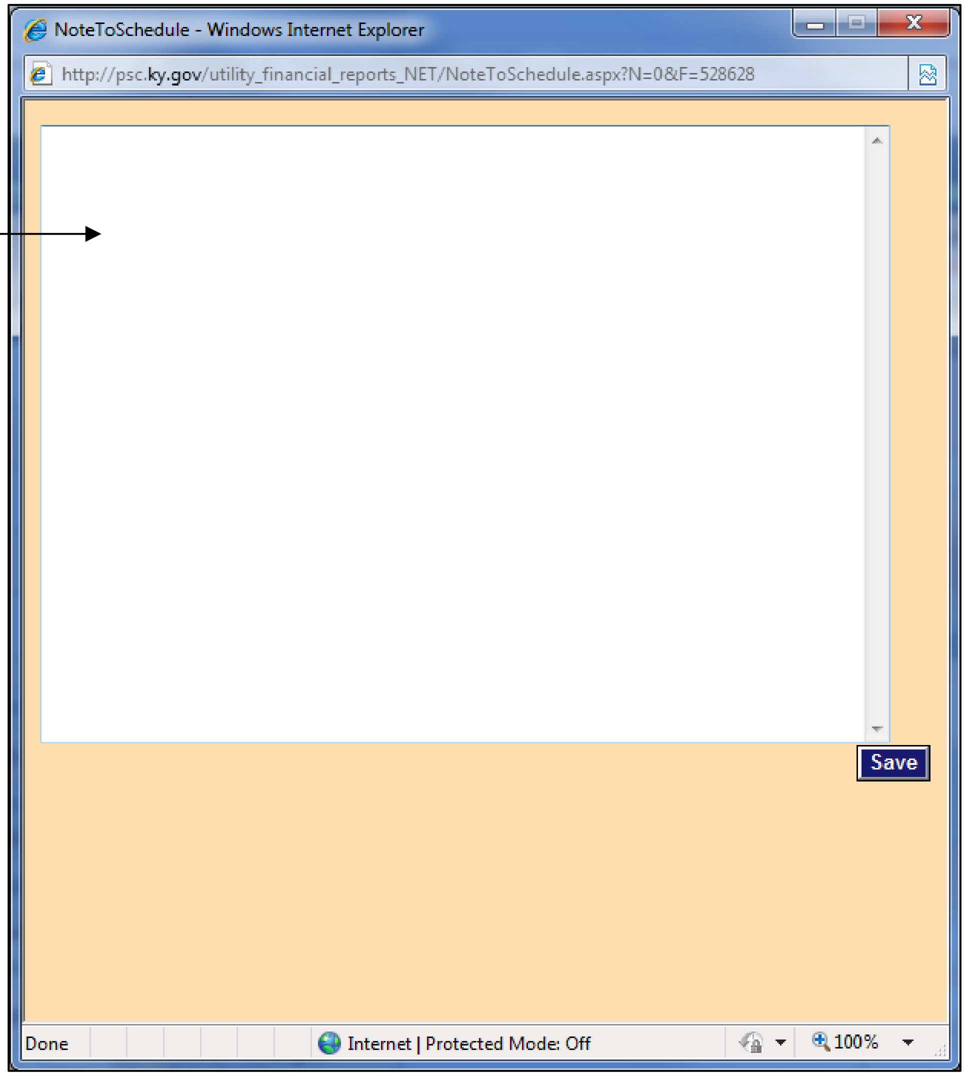
You may edit the note later by clicking the image of the red notepad at the top right of the form, or by choosing "Tools" and submenu "Edit Note".

To add a note to a schedule, go to "Tools" on the menu bar, and scroll down to "Add Note".



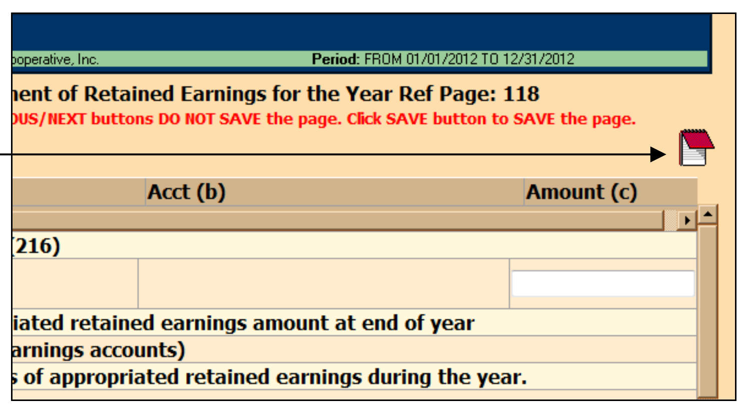
Step 2: A small screen will appear, allowing for a brief comment about the schedule. Comments may not exceed 2,000 characters. After entering the comment click **"Save"**. For comments which exceed this size or require rich formatting, send the notes in paper copy when you send the oath page.

You may write a note up to 2,000 characters in length.



Step 3: You may edit the note later by clicking the image of the red notepad at the top right of the form.

Once a note has been created, it can be edited by simply clicking the red notepad in the top right corner of the schedule.



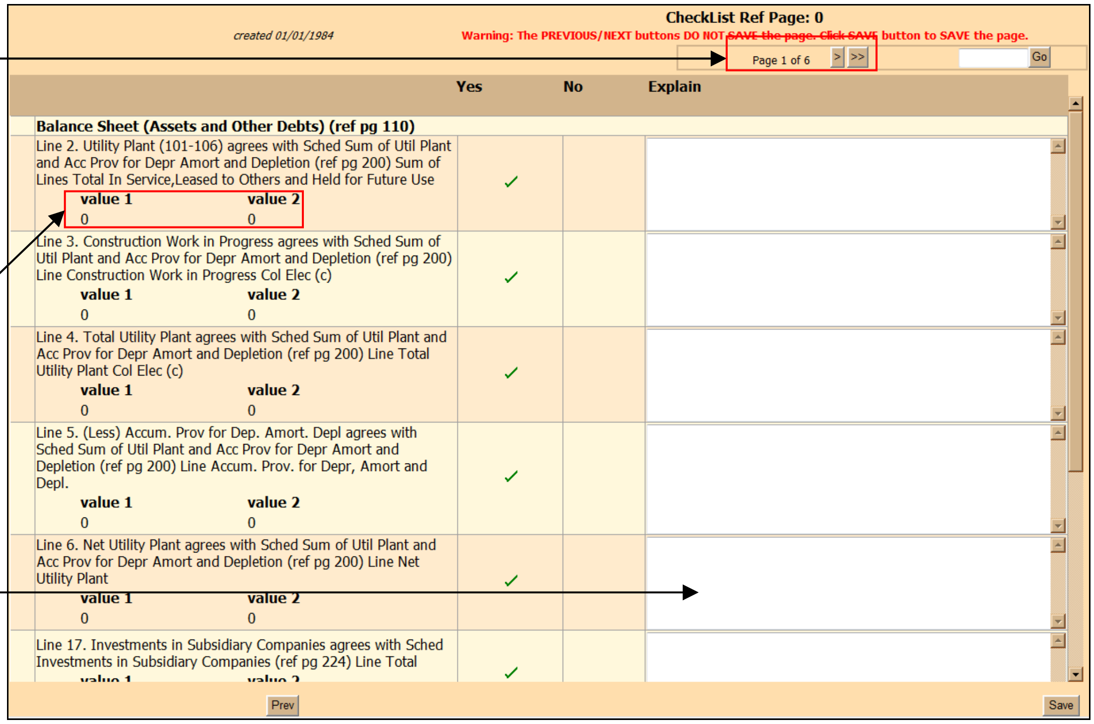
Checking for Errors

Once you finish entering the appropriate information on each schedule, you will come to the "Checklist". This schedule will check over all items that must be equal. You can use this opportunity to make any final corrections or enter a reason in the corresponding text area explaining why the items will not match.

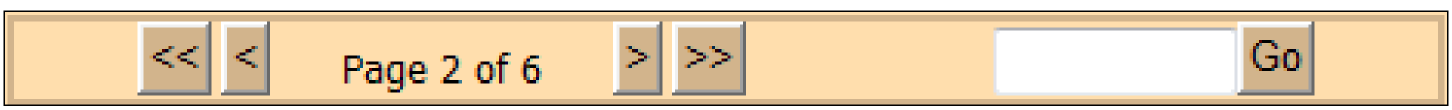
The checklist will show ten items at a time. This will require you to page through the entire schedule by clicking the **">"** button

You will see two values being compared. The description above the values explains where in the report to locate them if you they require corrections

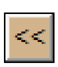
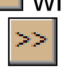
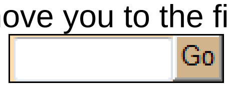
If the values do not match and it is not due to error, leave an explanation in the corresponding box



"Paging" control on the checklist schedule



Button Descriptions:

- The first button  on the left returns you to the first page of the checklist
- The second button  will return you to the previous page on the checklist
- The third button  will move you ahead to the next page on the checklist
- The fourth button  will move you to the final page of the checklist
- You may enter a page here  (in the case of the above example, any page 1 – 6) to jump directly to a specific page

NOTE: You must **save** any explanation made before moving to another page!

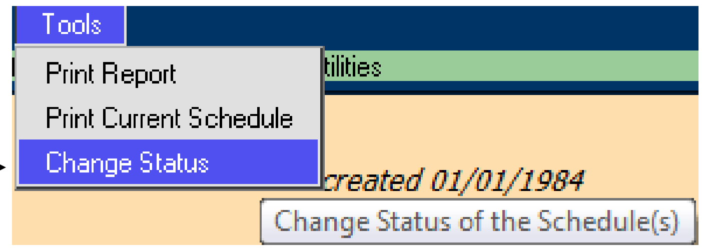
Completing Report

Once all the checklist items have been examined, you must mark the report “Complete”. In order to do so, you must access the **“Tools”** menu item and scroll down to and click **“Change Status”**. A window will pop up asking you to select either “Change Status of Current Schedule to Complete” or “Change Status of All Schedules to Complete”. Select the second option.

If you fail to mark the report as “Complete”, the PSC staff will not know to review your filing. Once you mark the report “Complete, you will no longer be able to edit any of the fields.

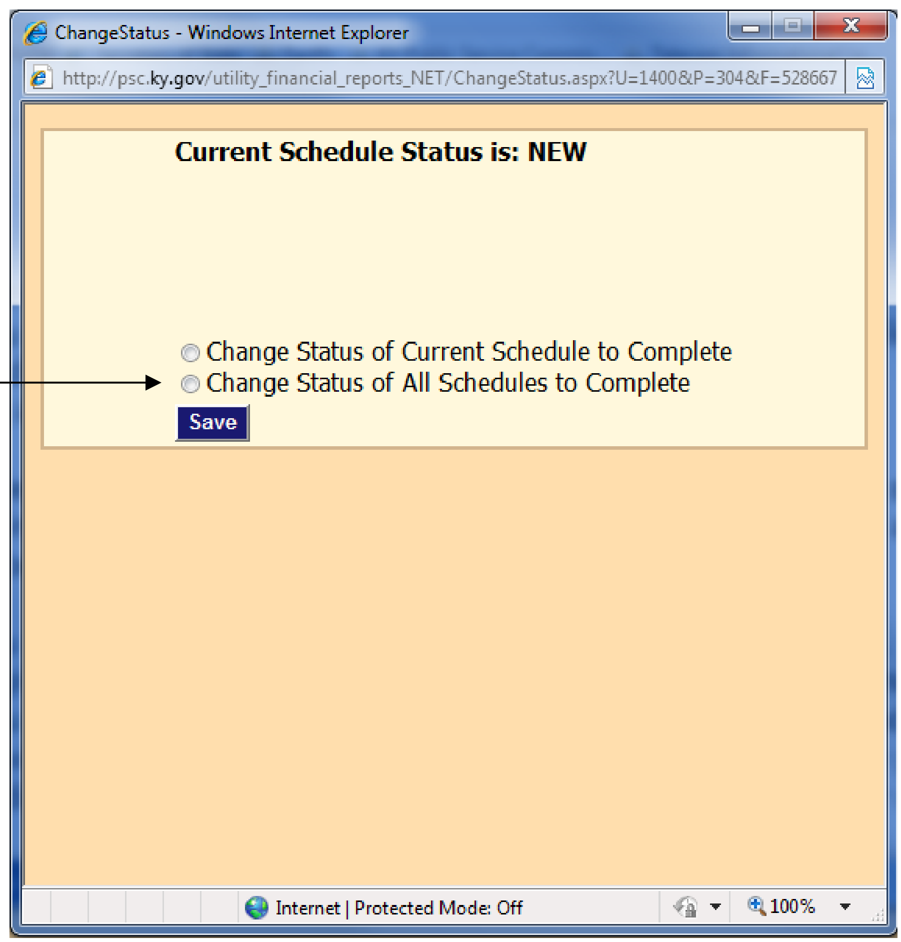
Step 1: “Change Status”

At the top of the screen, hover over “Tools”. Scroll down to and select “Change Status”



Step 2: Select “Change Status of All Schedules to Complete”

A window will pop up after you select change status. Select the second option: Change Status of All Schedules to Complete

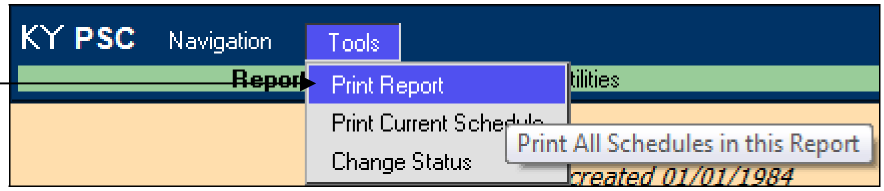


Oath Page

Once you've completed the Annual Report go back to the menu item "Tools" and scroll down to and select "Print Report". This will create a PDF of the Annual Report, including a blank Oath Page. Go to the last page of the PDF and print the Oath Page. The Oath Page must be filled out, signed and notarized.

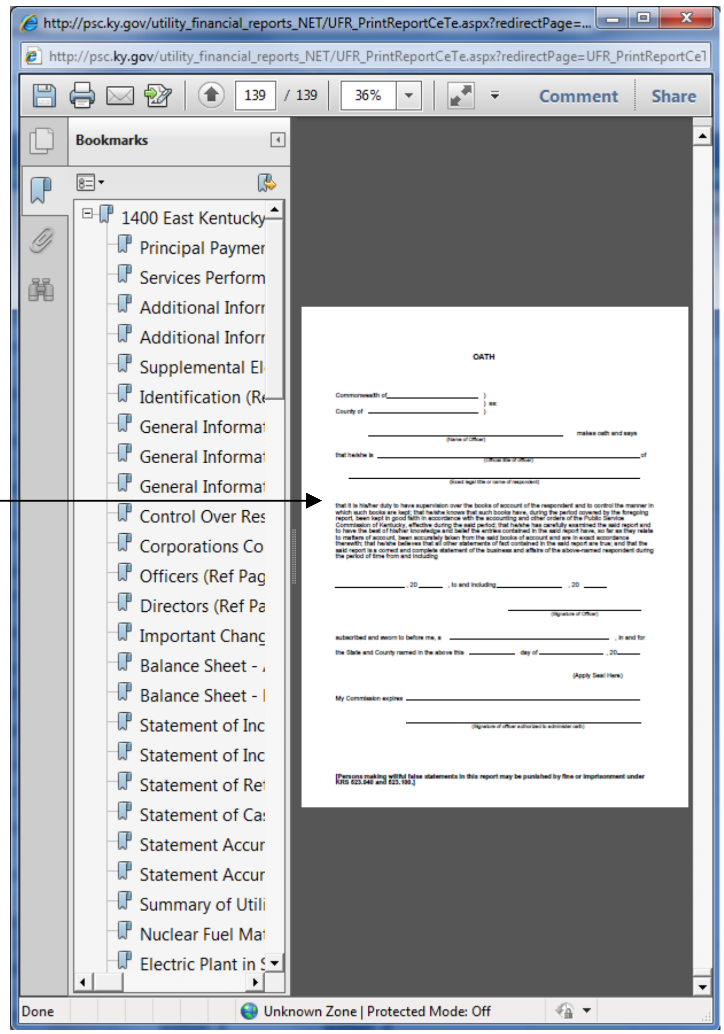
Step 1: "Print Report"

At the top of the screen, hover over "Tools". Scroll down to and select "Print Report"



Step 2: PDF Report

Once you select "Print Report", a PDF of the report will appear in a pop-up window. You must scroll to the last page and print the Oath Page. Complete the Oath Page and have it signed and notarized. Mail it to the PSC along with any other non-electronic Annual Report supplement



Final Step

Once the Oath Page has been completed, mail it to the Kentucky Public Service Commission along with any other non-electronic supplement to the Annual Report, such as Audit Reports or extensive notes that could not be entered electronically.

The KY PSC staff will begin the audit process. Until the filing is approved, it will not be available upon the KY Public Utility Financial Reports website.

You will be contacted if there are any changes or corrections to be made.

Questions

If you have any further questions regarding the process of electronically filing the Annual Report, please contact the appropriate PSC Staff by email at PSC.Reports@ky.gov